

SBA

SOP 00 41 2

Records Management Program

Office of Administration

U.S. Small Business Administration



**SMALL BUSINESS ADMINISTRATION
STANDARD OPERATING PROCEDURE**

National

SUBJECT: Records Management Program	S.O.P.		REV
	SECTION 00	NO. 41	2

INTRODUCTION

1. Purpose. To outline the procedures for records management for the Agency.
2. Personnel Concerned. All SBA employees involved in the creation, retention, and destruction of SBA official records.
3. Directives Cancelled. SOP 00 41 1, "Records and Library Management,"
SOP 00 65 2, "Indispensable Operating Records," and
SOP 00 81, "Micrographic Management Program."
4. Originator. Office of Administrative Services, Office of Administration.

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Chapter 1

General Overview of the Records Management Program

1. What is the Purpose of this SOP?

The purpose of this standard operating procedure (SOP) is to state concisely who does what, when, and how to properly control SBA records and to ensure that we meet the requirements in the following authorities: Federal Records Act of 1950, as amended (44 U.S.C. 3101, et seq.); 41 CFR, chapter 201, subchapters A and B and related bulletins and handbooks; 36 CFR, chapter XII; and General Accounting Office, (GAO), "Policies and Procedures Manual for Guidance of Federal Agencies," Title 8, "Records Management." This SOP also provides the detail necessary to implement a records management system.

2. What is the Agency Required to Do?

Records management statutes, regulations, and guidance require that the head of the Agency:

- a. Make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Agency; and
- b. Design the records to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the Agency's activities.

3. What is the Responsibility of the National Archives and Records Administration?

The National Archives and Records Administration (NARA) must identify, preserve, protect, and make available the historically valuable records of the U.S. Government.

4. What is Records Management?

The purpose of records management is to make information available in the right place, at the right time, at the lowest cost. Records management controls official records from the time they are created or received until they are either destroyed or archived. A good records management program will ensure the proper handling of our official records and the timely destruction of unofficial documents.

5. **Why is Records Management Important to Me?**

Every employee in SBA has some responsibility for records management. Inappropriate handling of official documents can cause you or the Agency embarrassment, expense, or penalties for violating the statute. In addition, firms that put their confidence in us to safeguard their documents may be harmed by inappropriate document handling, such as releasing loan status to a newspaper reporter.

6. **What are the Most Frequently Asked Questions?**

QUESTION	ANSWER
a. What records must I keep?	All documents designated as records must be kept. Official records can be correspondence, forms, reports, ledgers, calendars, photographs, audio tapes, video tapes, E-Mail, contractor generated data tapes, etc. The form is not what defines a document as a record or non-record. 44 U.S.C. 3301 defines official records and that definition is reprinted in chapter 2 of this SOP.
b. How long do I have to keep my records?	That depends on the type of record and the schedule established by your office. Most program offices maintain project or case files that have a specific life span governed by the disposition schedules. That schedule is printed in appendix 3. Reading files (copies) are convenience files and may be disposed of generally after 2 years.

- c. What records may I take with me when I leave?
- Personal papers that belong to an individual and are not used to conduct Agency business. However, all correspondence files at or above the office director level must be maintained in accordance with this SOP.
- d. Who in my office can assist me with my records management responsibilities?
- Each office must designate a records liaison who is responsible for records management. Call the Office of Administrative Services (OAS) for the name of your liaison or to designate one.
- e. What is the disposition schedule for my records?
- That depends on the type of record and the office. Most offices have established a schedule and it is printed in the appendices of this SOP. However, some records not covered by the Agency's schedule are governed by the General Records Schedule (GRS).
- f. Where do I get boxes to pack my records?
- The OAS has special boxes which must be used. Contact the Records Officer in OAS for a supply and instructions for packing.
- g. What is a box listing and where can I get one?
- A box listing is SBA Form 1474, "Records Transferral List," required by NARA, that must be completed with each box of records to be archived. You may get one from the Records Officer in OAS or electronically from the Agency's current forms software package.
- h. Where can I send my inactive records?
- That depends on the life cycle of the record. For a complete listing see chapter 4. Actually you do not send them anywhere. The Agency's Records Officer takes care of that. Contact him or her in OAS.
- i. How do I retrieve files that have previously been archived?
- The Records Officer in OAS will take care of that for you. Contact him or her in OAS.
- j. What should I do with the records if the office closes?
- See chapter 9 of this SOP.
- k. If I have more questions, who do I ask?
- Contact the Records Officer in OAS.

Chapter 2

What is an Agency Record?

1. What is an Official Record?

- a. The term is redundant. If it is a record it is official. Records contain information regardless of physical form or characteristics and pertain to:
 - (1) Organization;
 - (2) Functions;
 - (3) Policies;
 - (4) Decisions;
 - (5) Procedures;
 - (6) Operations; and
 - (7) Other Government operations.
- b. Even correspondence designated personal, confidential, or private is official if it pertains to the conduct of public business.

2. Are All Official Records on Paper?

- a. No. Official records can be in many forms. Some examples are:
 - (1) Maps;
 - (2) Photos;
 - (3) Books;
 - (4) Electronic files such as E-Mail and Voice Mail; and
 - (5) Microfiche.

3. What is an Unofficial Record?

Properly referred to as "non-record materials" (see paragraph 2-4).

4. **What is a Non-record?**

- a. A non-record is a document, regardless of form or characteristic, that was temporary and has served its purpose. Some examples of non-records are:
 - (1) Blank copies of forms;
 - (2) Duplicate copies of material;
 - (3) Working papers accumulated in connection with a specific case or project;
 - (4) Other preliminary papers leading to results or findings;
 - (5) Reference materials;
 - (6) Data analysis and summaries;
 - (7) Drafts;
 - (8) Routine requests for case reports and data;
 - (9) Extra copies of documents preserved for convenience of reference;
 - (10) Stocks of processed documents;
 - (11) Preliminary worksheets; and
 - (12) Similar documents.
- b. Previously, when three-color paper was commonly used the white copy was designated as the unofficial convenience copy.
- c. Non-records are not eligible for retirement at a Federal Record Center (FRC).

5. **What are Personal Papers?**

- a. Personal papers are materials that pertain solely to an individual's private affairs. These may be kept in the office of an SBA official if all the following apply:
 - (1) They are clearly marked as not being official records of the office;
 - (2) They are filed separately from official records; and
 - (3) They do not require additional space or equipment.

6. **What is a Vital Record?**

Vital records are those necessary for the Agency to continue operations during an emergency or disaster.

- a. The vital records program identifies, separates, duplicates, and preserves significant documents needed during an emergency or disaster that adversely affects Agency operations.
- b. Vital records include those records that would:
 - (1) Assist in reconstruction of the Agency;
 - (2) Document authorities, functions, policies, and responsibilities; and
 - (3) Outline financial condition and responsibilities.

7. **What is a Permanent Record?**

Records appraised by NARA that have sufficient historical or other value to warrant preservation by the Federal Government beyond the time they are needed for administrative, fiscal, or legal purposes, are considered permanent.

8. **What is a Temporary Record?**

- a. A temporary record meets the definition of record, but has no enduring value. These records are approved by NARA for disposal, either immediately or after a specified retention period. Examples of temporary records include:
 - (1) Correspondence below the office director level;
 - (2) Convenience files; and
 - (3) Time and attendance (T&A) cards.
- b. Temporary records are retained a minimum of 2 years.

9. **Are Files the Same as Records?**

No. There are two kinds of files: case and subject.

- a. Case Files: Case or project files contain records relating to a specific action, event, organization, location, product, etc. A case file documents a transaction from beginning to end. Records commonly put in case files include:

- (1) Correspondence relating to that case;
- (2) Purchase orders;
- (3) Contracts;
- (4) Investigation documents;
- (5) Audit documents;
- (6) Requisitions;
- (7) Loans;
- (8) Grants;
- (9) Research project data and reports; and
- (10) Personnel transactions.

- b. Subject Files: Subject Files contain mainly letters, memoranda, forms, reports, and other material, all relating to program and administrative functions, not to specific cases.

10. **What are Technical Reference Files?**

Reference material or publications directly related to the work of the office which have no record value. Examples include:

- a. Periodicals;
- b. Equipment manuals;
- c. Technical reports; and
- d. Pamphlets.

Chapter 3

How Does SBA Control Its Records?

1. Who Owns Agency Records?

Any information received, created, or compiled by officers, employees, or contractors in the conduct of Federal business is an official Government record and is the property of the United States. No Federal official, employee, or contractor by virtue of function or position has any personal or property right to official records even though the individual may have helped to develop or compile them.

2.. Who has Access to Agency Records?

- a. Everyone has access to the Agency's records with certain restrictions.
- b. Access to SBA records is governed by SOPs 37 35 , 40 03 , and 40 04. Different restrictions apply to different types of records. Previously, the Agency maintained a central file room (CFU) where records were kept. Records could be signed out under strict procedures to control access to only authorized personnel. Now, each program, function, or field office maintains its own files and must adhere to the access restrictions. (For more information on these responsibilities and procedures, see chapter 7.)

3. Under What Circumstances Can Records be Released?

- a. The Privacy Act 5 U.S.C. 552a requires that records containing personal information on employees and applicants be locked up during non-working hours. This applies to any material meeting the definition of records, regardless of media.
- b. The Freedom of Information Act (FOIA) 5 U.S.C. 552 as amended, requires that some information be released upon request. SBA has designated the Office of Freedom of Information and Privacy Act to oversee the release of all information under FOIA. Sometimes they approve the request. Sometimes it is approved after the material is edited to protect confidential or privileged information. In any case refer all such requests to the FOIA office.

4. How is the Agency's Seal Used to Control Records?

The Agency's seal is used to:

- a. Certify and authenticate as true originals, copies of any records or extracts of records on file regardless of characteristic or media; and

- b. Certify the nonexistence of SBA records. Occasionally records are requested that no longer exist because they were destroyed. In that case the seal is applied to the document authenticating that fact.

5. **Who May Use the Official Seal?**

- a. The following officials may use the official seal:
 - (1) Administrator;
 - (2) Deputy Administrator;
 - (3) General Counsel;
 - (4) Associate Deputy Administrators;
 - (5) Assistant Administrator for Administration;
 - (6) Assistant Administrator for Hearings and Appeals;
 - (7) Associate Administrator for Minority Enterprise Development;
 - (8) Regional Administrators;
 - (9) District Directors;
 - (10) Branch Managers;
 - (11) Inspector General; and
 - (12) Disaster Area Directors.
- b. Any office may display a replica of the seal as a wall plaque. Gold embossed seals in various sizes may be obtained from OAS for use on certificates. Blue replicas of the seal may be obtained from OAS for use on training packages, brochures, etc.

Chapter 4

What is the Lifecycle of a Record?

1. CREATE

In the beginning...

The Agency or program creates or obtains the recorded information.

2. MAINTAIN

The record is filed in the office until it is no longer needed for operations or reference.

3. DISPOSE

In the end...

The record is retired, according to the disposition schedule. Some records are destroyed, some are put into permanent storage, and some are put in temporary storage where they are later buried, incinerated, or shredded.

The Records Disposal Act governs all records regardless of characteristic or media.



Chapter 5

Responsibility for the Records Management Program

1. Who is Responsible for the Agency Records Management Program?

The Chief, Administrative Information Branch (AIB), through the Director, Office of Administrative Services (OAS) and the Assistant Administrator for Administration, is the delegated authority for administering the Agency's Records Management Program and is the SBA Records Officer.

2. What is My Responsibility as the Agency's Records Officer?

To control official records from the time they are created or received by SBA until they are destroyed or archived. OAS must:

- a. Analyze, develop, coordinate, and implement records management policies and procedures;
- b. Preserve the records documenting the Agency's programs and functions;
- c. Evaluate Agency records activities and advise appropriate officials of findings;
- d. Recommend appropriate actions;
- e. Ensure that the disposition plans for destroying or archiving SBA records are adequate;
- f. Serve as liaison with FRCs, NARA, and General Accounting Office (GAO) to develop and recommend appropriate retention and disposition schedules;
- g. Determine what documents are records and non-records;
- h. Certify the authenticity of Agency records;
- i. Guide SBA personnel engaged in records management;
- j. Approve procurement requests for supplies and equipment;
- k. Maintain the official seal and embossing machine;
- l. Determine the disposition schedule of groups of records;

- m. Work with program offices to modify existing schedules or create new ones as new programs begin;
- n. Coordinate changes of records descriptions with NARA for approval or modification;
- o. Inspect records ready for shipment to Interim Storage or to the FRC;
- p. Coordinate file retrieval for FOIA and other requests;
- q. Comply with provisions of the Privacy Act;
- r. Coordinate the microfilming of SBA material;
- s. Work with offices that are closing to properly dispose of their records;
- t. Supply records boxes for shipment of files;
- u. Consult with our designated NARA archivist on problems related to records management matters;
- v. Maintain and update the list of records liaison contacts Agencywide;
- w. Handle inquiries from Headquarters and field offices pertaining to records management; and
- x. Work closely with our Interim Storage staff to ensure that our clients' needs are met.

3. **How is the Seal Embossing Machine Controlled?**

- a. The administrative officer authorized to use the seal must attach a serial number to the right side of each embossing machine as shown in appendix 10. Each machine must have a unique number which begins with the zip code where the machine will be used and the sequential number of machines in use at that zip code. For example, 21401-2.
- b. When embossing machine is purchased, send OAS:
 - (1) Name and phone number of individual controlling the machine;
 - (2) Date the machine was purchased;
 - (3) Serial number; and
 - (4) Make, model, and size.
- c. When not in use the machines must be locked up. The authorized user is responsible

for safeguarding the seal. Seals and embossing machines cannot be used for decorative purposes or on personal papers such as business cards.

- d. Send embossing machine(s) out to be repaired when necessary, using certified mail, and also list return receipt requested.

4. **What Do I Do with Records that are no Longer Used?**

They can be disposed of or retired in three ways:

- a. If the records are not being used, but are still active according to the disposition schedule, they can be transferred to interim storage where they can be retrieved if necessary until the destruction or archival date;
- b. If the records have been kept for as long as necessary and must be archived according to the disposition schedule, they must be archived to be preserved in perpetuity; and
- c. If the records are no longer active according to the disposition schedule, and do not need to be archived, they can be destroyed.

5. **How Does a Records Liaison Retire a Record?**

- a. To retire a record, send it to a designated FRC for storage, servicing, retention, or destruction. NARA has approved the Agency's schedules for retiring records and GAO has concurred. The disposition schedule for records unique to SBA is in the appendices of this SOP. Follow this schedule or the GRS issued by NARA for the category of records you have to dispose of, e.g., accounting, procurement, etc. Use the GRS (which is available from NARA or can be obtained from OAS) or SOP 00 41 disposition schedule to determine:
 - (1) When to cut off, retain, or dispose of files;
 - (2) What records are to be transferred to FRCs; and
 - (3) How long the records will be kept at the FRC.
- b. If the type of records you need to retire do not appear on the approved list, or if the approved list needs to be modified to meet current conditions, the records liaison must work with OAS to obtain approval from NARA. After receiving the recommendation from the program or field office, the records officer will prepare an SF 115, "Request for Records Disposition Authority," (see copy in appendix 4) to add, delete, shorten, or extend any scheduled item.
- c. Get SF 115 signed by the Director, OAS or his or her designee. Send a copy to GAO for concurrence before submitting to NARA when the change in the disposition

schedule is for financial records only. Records recommended for disposition cannot be destroyed until the authorization is completed. Any final changes will be published in this SOP. This process can take up to 2 years and must be published in the Federal Register for public comment for 45 days.

- d. Records of continuing value must be preserved. Out-of-date records must be removed from the office files to save space. Before retiring records you must:
 - (1) Screen records submitted by the offices to see if they are eligible;
 - (2) Inspect the boxes to see if they are properly packed;
 - (3) Reconcile the packing inventory (SBA 1474) with the contents;
 - (4) Prepare and keep a copy of SF 135, "Records Transmittal and Receipt;"
 - (5) Locate the appropriate records schedule;
 - (6) Identify the old records disposition code (located at the far right of the page - adjacent to the record title); and
 - (7) Use the old records disposition code as the disposition authority to an FRC until otherwise notified.
- e. SBA uses the numbers assigned to the disposition schedule both as an identification and an authorization. Group all files relating to the same functional area using the numbers found in the disposition schedule in the appropriate appendix. For example, investigation files for the Small Business Investment Company Ownerships are 90:15. Follow NARA's disposition instructions provided next to each numbered item or the items will not be accepted by the FRC. (Prepare SF 135 following the information on the office's SBA 1474.) Samples of SBA 1474 and SF 135 are shown in appendices 6 and 7.
- f. Be sure to indicate that the contents are permanent (whether scheduled or unscheduled). List each file in the box separately unless they are alphabetically or numerically arranged; then only list the first and last file in the box. Include a box contents list for disposable records. OAS must retain a copy listing all records transferred to an FRC.
- g. Notify FRC for pickup. The SF 135 must be processed through the FRC before boxes are shipped. If pick-up service is not available, ship to the FRC by the most economical means.

6. **How Do I Destroy Records?**

- a. Records of temporary value must be destroyed according to NARA guidelines. Refer to the disposition schedule in the appendices.
- b. What are the options for destroying records?
 - (1) Throw them away when there is a small quantity and the contents are unclassified;
 - (2) Sell them as wastepaper if there is a large quantity and the contents are unclassified;
 - (3) Pulp or burn when it is necessary to avoid disclosure (if the documents are classified); and/or
 - (4) Erase or reuse when files are computerized.

7. **Where Do I Transfer Records To?**

- a. Transfer records to:
 - (1) The FRC when retired;
 - (2) Another agency with proper approval; or
 - (3) Another office in the Agency following a reorganization, or realignment of functions or delegation of authority.
- b. The records liaison must approve all transfers of records to ensure that only program records are transferred, and that personal papers have been removed.

8. **What Do I Do When an Office Closes?**

- a. Usually, the records are transferred to another location when an office closes. Contact Headquarters for procedures. Office closing can be traumatic and chaotic and you must assist the records liaison to properly transfer the records.
- b. When a **temporary commission** closes, SBA's Records Officer handles the maintenance and disposition of the commission records like those of any other organizational unit. Temporary commission refers to any commission, board committee, council, conference, panel, task force, or other similar groups established by statutes, organizational plan, or the President to obtain advice and recommendations. For example, The White House Conference on Small Business.

- c. The provisions of this SOP apply to all temporary commissions related to the SBA. The Records Officer must ensure that the commission's administrative files (personnel, payroll, and fiscal matters) are separated from the files that document the substantive work of the commission because the disposition of these two types of records differ. Administrative files are destroyed after being transferred to SBA when their usefulness is completed.
- d. The Records Officer prepares an SF 115 and describes the program records and any administrative records that will not be included as temporary records. The commission's records liaison will then prepare an SF 258, "Request to Transfer, Approval, and Receipt of Records to National Archives of the United States," to identify any records that must be restricted. This document conveys legal custody to NARA and must be done well in advance of the final closing. The records are to be shipped to NARA, packed, and inventoried just as any other official records being transferred.
- e. A commission that is closing should give SBA's Records Officer 6-months notice when it expects to complete its work to give enough time to properly dispose of its records.

9. Can I Get a Waiver to Retire Records?

- a. The SBA Records Officer may approve specific waivers of retirement procedures only on an individual basis, but no records can be destroyed until the schedule is officially changed. If you waive any of the retirement procedures, you must make the request in writing and provide a copy to the Records Officer.
- b. Normally records that are scheduled to be destroyed after expiration of the approved retention period (temporary records) are not sent to NARA. In rare circumstances, NARA can waive the approved retention period for very significant records such as those that document a significant episode in the administrative history of the Agency or Federal Government. If an office makes such a request, contact NARA for a determination.

10. How Can I Retrieve Records Previously Retired?

- a. Only OAS can retrieve records. FRC will service the retrieval requests according to arrangements made prior to the transfer. The retrieval of a record might be limited because it is covered by the Privacy Act. Generally, requests for retrieval are serviced in 10 days. In court cases, records can be picked up within 24 hours.
- b. The requester will use Optional Form (OF) 11, "Reference Request Federal Records Center" (see sample in appendix 9) Only one form is needed if the boxes to be retrieved are in sequence, e.g., 1,2,3. If the boxes are not consecutive, use one OF 11

for each box needed. Provide as much information as possible to assist FRC in locating the correct box, such as:

- (1) Name of the authorized requestor;
 - (2) Name of office;
 - (3) Location of office;
 - (4) Phone number;
 - (5) File item;
 - (6) NARA accession number and shelf data;
 - (7) FRC box number in which the record is filed; and
 - (8) Title of file.
- c. If records are sought for a FOIA request, note that on the form in "Remarks." Keep a copy of the request. If the records are classified, note that on your OF 11 and when received, sign the white copy of the OF 11 to be returned to the FRC. If the classified record is to be picked up, the person must have the necessary security clearance.
 - d. Return all retrieved records to FRC within 10 days.

11. Are there any Specific Requirements for Records Classified Under the Privacy Act?

- a. Records with Privacy Act information authorized for disposition must be destroyed. In Headquarters, OAS will arrange for pick-up within 5 days after the request. Pack and label boxes as follows:
 - (1) Number boxes sequentially, e.g., 1,2,3,... with a black marker in the upper right corner;
 - (2) Fold in top flaps after packing, but do not tape; and
 - (3) Prepare a summary of contents and include office, room number, person to contact, brief description of the types of records, and time frame of the records.
- b. You may store the boxes temporarily. Be sure to review the boxes and verify that the records can be disposed of immediately before sending them to the disposition site. Return any material not authorized for disposal.

- c. Occasionally FRC will relocate boxes and will notify SBA of the new location (accession location change). When the records liaison receives a National Archives (NA) Form 13016, "Notice of Accession Location Change," update the records for those boxes so that the new location will be clearly shown for future retrieval (see example in appendix 27).

12. **What is the Final Disposition of Retired Records?**

- a. FRC notifies OAS via an NA Form 13001, "Intent to Destroy Records," (see example in appendix 28), when records stored there are ready to be disposed of. The program office responsible for these records will have 90 days to object. If FRC does not hear from SBA within 90 days, they will destroy the records. Update your records to indicate that those files are destroyed and are no longer available for retrieval.
- b. If you object, you must justify the request for continued retention, in writing, along with the estimated extension time. For example, the files may be needed to complete an on-going audit.
- c. OAS will notify Headquarters and field offices that their records are due for transfer or destruction on SBA Form 1631, "Notification of Transfer or Destruction of Records," 60 days prior to the act (see example in appendix 29). If the records liaison for the office does not respond within 60 days, the records will automatically be destroyed or transferred.
- d. Use SF 258 to transfer records and give legal custody to the National Archives (see sample in appendix 32). The Records Officer will get a copy to sign for SBA when records are scheduled to be transferred from the FRC to the National Archives. Keep a copy.

Chapter 6

Records Management in the Program and Field Offices

1. **Who is Responsible for Managing Records in My Office?**

- a. Headquarters Management Board members, regional administrators (RA), district directors (DD), branch managers (BM), or disaster area office directors are responsible for administering the records management program for their offices. These officials may delegate this authority. Whomever the authority lies with is the office's records liaison officer.
- b. Each office must have a records liaison officer and notify OAS of any changes. Include the liaison officer's name, office address, and phone number. This designee is the point of contact for OAS. However, all employees are responsible for proper handling of records they create or use.

2. **What Must I Do as Records Liaison Officer for My Office?**

You must:

- a. Determine what are records and non-records using the guidelines in chapter 2 of this SOP;
- b. Ensure that all records are created, maintained, and disposed of according to the provisions of this SOP;
- c. Develop a correspondence filing system that meets the requirements in SOP 00 21 "Correspondence Handbook;"
- d. Follow the records retention schedule published in the appropriate appendix for your office records;
- e. Properly pack and label boxes destined for FRC;
- f. Prepare the contents listing on SBA 1474;
- g. Identify records management problems and notify OAS;
- h. Keep copies of the contents list and dates shipped to OAS;
- i. Provide information to employees in your office so that they know how to properly handle records in their possession; for example, make them aware of this SOP, answer their questions, and provide copies of major changes in this SOP;

- j. Notify OAS if you are no longer the liaison for your office and who is;
- k. Keep the pertinent records disposition schedule up-to-date;
- l. Notify OAS of any changes in program or organizational structure that affects records management in your office; and
- m. Safeguard the seal.

3. Who May Buy the Official Seal in Field Offices?

- a. Each field office head is authorized to purchase embossing machines with the official SBA seal for field offices under his or her jurisdiction. This authority may be delegated to the administrative officer (AO) for the region. If repairs are needed, the field office head is authorized to send the machine for repairs.
- b. The Office of Disaster Assistance in Headquarters is authorized to purchase embossing machines and seals for its four disaster area offices and must keep an inventory of the machines and seals it has purchased and distributed.

4. How Do I Properly Maintain Files?

- a. Each office is responsible for the safeguarding of documents to ensure security and confidentiality. Field offices should, to the extent possible, establish one central records unit (CRU) (a centralized file station) separate from the cashier function, supplies, and copy equipment. If a separate room is not possible, maintain files with locks for this purpose. Keep loan files in the CRU or other locked space and control access. Personnel must return files to the CRU at the end of the workday. Loan officers may keep the files locked in their desks after work hours for a period of 1 week while in use.
- b. When original field files are required by Headquarters, the field office must send the requested file(s) by certified mail, return receipt requested, and keep a copy of what was mailed. Headquarters must return the file by registered mail, return receipt requested as soon as it is no longer needed. The field office must follow-up to ensure that the original file is returned.
- c. When files are transferred to another office, keep records of files sent, when, to whom, and proof of mailing.

5. How Often Must Records be Reviewed for Disposition?

- a. Review records annually to see which ones must be disposed of in the current year.

b. If you have files of at least 1 cubic foot to transfer, the FRC will accept records that:

- (1) Have 1 to 3 years remaining before disposal;
- (2) Are scheduled for disposal; and
- (3) Will not cost more to move than to continue to store in the office.

6. **What Do I Do with Files that Must be Disposed of in the Future?**

- a. Headquarters may transfer records to the interim storage facility. Other offices must store inactive records until the authorized disposition time. The FRC may approve an accelerated retirement of records if excessive retrieval is not necessary. The SF 135 should show the entire retention period for which accelerated retirement has been requested.
- b. In order to use the interim storage facility, you must
 - (1) Pack records in approved boxes according to NARA instructions and include an SBA 1474 and get the boxes to OAS, Records Officer;
 - (2) Check the instructions in appendix 5 before packing and labeling boxes;
 - (3) Fill boxes at least 3/4 full;
 - (4) Keep records to be sent to an FRC in properly marked boxes until you accumulate enough to warrant transfer; and
 - (5) Put records in box so that staples on box are at the right, rear corner.
- c. The person who packs the boxes must also prepare, sign, and date the listing of contents on an SBA 1474 (see appendix 6) and is available on the Agency's electronic forms system.

7. **How Do I Retrieve Records Previously Retired?**

Once transferred, records may be retrieved by OAS. The FRC needs 10 days to process the request. In an emergency, such as in a court case, the records can be retrieved within 24 hours. Use one OF 11 if the boxes needed are in sequence, e.g., 1,2,3. If the boxes are not consecutive, use one OF 11 for each item. Provide as much information as possible to assist FRC in locating the correct box.

8. **What Records May I Take When I Leave the Agency?**

When you resign, retire, or transfer, you cannot remove records unless they are clearly

designated as personal. Removal of official files is a Federal offense

9. How are Contractor Documents Handled?

Data created or maintained by contractors for the SBA are covered by the provisions of this SOP. Program and contracting officials must:

- a. Specify in contracts that adequate data be delivered to properly document the system;
- b. Support the software program delivered to the program office even if the order is deferred because it is impossible to identify in advance "all data;"
- c. Provide for the delivery of background data that has reuse value;
- d. Include a "Right-in-Data" clause to permit reuse of such data; and
- e. Clearly state that all data are Federal records and must be managed in accordance with the Federal Records Act, the Freedom of Information Act, the Privacy Act, and the schedule for disposition in 36 CFR, Chapter 12, Subchapter B.

10. What Do I Do When the Function is Not Transferred?

- a. Prepare an inventory of records on hand;
- b. Destroy non-record material;
- c. Use the records disposition schedule to mark the records that can be disposed of immediately;
- d. Prepare SF 135 for inactive records for temporary and permanent storage to the nearest FRC;
- e. State the name of the successor office on the form if available;
- f. If no successor, clearly mark on the forms any instructions or restrictions that apply so the FRC can correctly handle the records, e.g., if any are subject to the Privacy Act;
- g. Prepare a disposal list for all unscheduled temporary records for OAS; and
- h. Transfer active, operating records to appropriate custodial office.

11. What Do I Do When the Function/Operation is Transferred to Another SBA Office?

- a. Ensure that only official records are transferred;

- b. Destroy non-record materials;
- c. Use the official records disposition schedules and the GRS to immediately dispose of qualifying records;
- d. Pack and label boxes and prepare an inventory listing; and
- e. Notify OAS.

Chapter 7

Who is Responsible for Electronic Records?

1. What is the Records Liaison's Responsibility in Handling Electronic Records?

- a. The Office of Management and Budget (OMB) published Circular A-130 that requires all Agencies to keep their computer systems secure and meet Government standards for establishing and maintaining automated data processing (ADP) systems. Electronic files that may meet the definition of official records include:
 - (1) E-Mail;
 - (2) Voice Mail;
 - (3) Floppy Diskettes;
 - (4) Fax transmissions; and
 - (5) Internet transmissions.
- b. Anything published on the Internet should be treated as a Federal record if it meets the prescribed criteria and must be cleared by the affected program office and OAS.

2. What Procedures Must I Follow?

You must be familiar with the categories of records that are classified as official, as described in chapter 2, so that you can determine what is a record and what is not. You must handle the electronic records as if they were paper records for purposes of the statutes listed in chapter 1.

3. What are the Responsibilities of the Director of OAS?

- a. Establish policies and procedures governing all aspects of records management.
- b. Provide standards and procedures governing the selection, collection, availability, reproduction, transmission, classification, filing, servicing, and disposing of all vital records.
- c. Direct the operation of the Headquarters Vital Records Program.
- d. Advise and assist Headquarters and field offices in the development and application of criteria for maintaining vital records in their areas of operations.

- e. Identify other categories of records as indispensable for operations at the regional level.

4. **What are the Responsibilities of the Chief Information Officer (CIO) or His or Her Designee as Manager of Electronic Records?**

- a. Provides technical standards and procedures implementing the electronic records management policies.
- b. Prepares consolidated indispensable records status reports quarterly.

5. **How Does the Records Liaison Handle E-Mail Records?**

- a. NARA has published rules which require that E-Mail transmissions be treated exactly like paper records. If the E-Mail pertains to official records (see definition in chapter 2) make a copy and file it exactly the same as you would a paper record. Each employee must make this determination.
- b. For general guidance, E-Mail is not considered a record if it is:
 - (1) An announcement of a meeting;
 - (2) Routine exchange of information; and/or
 - (3) Other transmissions not used in the conduct of Agency business.
- c. E- Mail of the above nature should be deleted as soon as it has served its purpose.
- d. If E-Mail was created to document an official function, save it.

6 **How Do I Handle Voice Mail Records?**

This information is being developed by NARA and will be included in the SOP as soon as it is available.

7. **How Do I Handle Records on Computer Files?**

- a. **Employee Created:** Procedures for most computer files are covered in the GRS 20, "Electronic Records." Those files that are specific to the SBA must be treated in accordance with the disposition schedule assigned by the program office that created the files. Disposition schedules are listed by office in the appendices of this SOP. All other computer files pertaining to official records (see definition in chapter 2) should be copied and filed by you exactly the same as you would a paper record. Each employee must make this determination.

- b. **Outside Contractor Created:** SBA uses outside contractors for many purposes, from conducting a one-time survey to operating the mainframe with all SBA loan files. Most contractor product is official record and must be treated as any other official record. If the data deliverables include computer files, the contractor is required to deliver sufficient technical documentation of the files to permit the Agency to use the data.
- c. **OCIO Created:** For example, various programs such as loan files for Financial Assistance or Goals Tracking System for Field Operations. Reference the GRS 20.

8. **What are Micrographic Records and When Do I Convert Paper Records into Microform?**

- a. OAS is responsible for planning, maintaining, and disposing of SBA micrographic records. Policies and procedures for managing micrographic records are contained in 36 CFR Part 1230.
- b. Micrographics are records in any form containing greatly reduced images, or microimages.
- c. Base your decision to microfilm records on the life-span of a series of records and the frequency of retrieval. The life-span of records is determined by the type of information they contain. Refer to the disposition schedules in the appendices for specific times. Records that have at least a 5-10 year retention period and are referenced frequently are candidates for microfilming.
- d. SBA has an interagency agreement with the Washington National Records Center (WNRC) for microfilming SBA records. When you want to microfilm records, contact the Records Officer in OAS. Field offices can contact their respective records centers for assistance and microform services; they can also contact OAS.

9. **How Do I Handle Audiovisual Records?**

Policies and procedures for managing audiovisual records in the Federal Government are found in 36 CFR 1228.184. GRS 21 explains the handling and disposing of audiovisual records. See records group 40 in appendix 16 of this SOP for retention periods.

- a. Audiovisual records include program and information motion pictures, still pictures, sound recordings, video recordings, audiovisual records, and related records that document the creation or acquisition of audiovisual records and the retrieval of information about or from audiovisual records.
- b. Centralized audiovisual services available from the National Audiovisual Center (NAC), NARA, include:

- (1) Information about the availability of Federally produced or sponsored audiovisual products;
- (2) Catalogs on audiovisual products available for loan, rental, or sale; and
- (3) Standard criteria and appropriate terminology.

Chapter 8

The Vital Records Protection Program

1. What is the Vital Records Protection Program?

This program is designed to protect the records that are indispensable operating records so the Agency could continue operations in the event of disaster, attack, or physical disorder. See appendix 31 for instructions for protecting each of these vital records.

2. Who is Responsible for the Vital Records Protection Program?

- a. The Director, OAS, is responsible for the overall SBA Vital Records Protection Program. He or she:
 - (1) Designates which records are indispensable;
 - (2) Designs and prescribes systems to ensure the availability of these records; and
 - (3) Specifies steps that must be taken to reconstitute SBA in a post-attack period.

3. What are the Responsibilities of the Records Management Officer in the Vital Records Protection Program?

The Records Management Officer does the following:

- a. Provides procedures covering the collection, reproduction, transmission, classification, filing, servicing, and disposal of records;
- b. Advises and assists Headquarters and field offices in developing criteria for maintaining vital records.

4. What Records are Covered by the Vital Records Protection Program in OAS?

- a. Federal Procurement Regulations and related circulars;
- b. SBA standard operating procedures;
- c. SBA rules and regulations;
- d. Facilities Management space records;
- e. Copies of SBA forms, standard forms, and others of common use;

- f. U.S. printing laws and regulations, U.S. Postal Service Manual, Congressional Directory, and similar publications;
 - g. U.S. Government Organization Manual;
 - h. EO 12656, dated November 18, 1988, prescribing various Federal agency emergency responsibilities; and
 - i. Code of Emergency Federal Regulations, 1965, with revisions.
5. **What Records are Covered by the Vital Records Protection Program in the Chief Financial Officer's Records?**
- a. OPM salary table;
 - b. Borrowers history run on SBA loans (CO-ADP) printout which is microfilmed;
 - c. Emergency Disbursing Plan - U.S. Treasury Department;
 - d. Plans for continuity of money and banking - Federal Reserve System;
 - e. SF 2806, "Individual Retirement Record," and SBA Form 982, "Time and Attendance Report;"
 - f. SF 1152, "Designation of Beneficiary;"
 - g. Biweekly pay register microfiche; for employees on supplemental rolls; bond register, detail check, bond issue verifications, allotments, and net checks on microfilm to financial organization for SBA employees;
 - h. Office of Personnel Management Schedule of Subscription Charges (Health Benefits);
 - i. Budget-Treasury Bulletin No. 1 (and related documents);
 - j. Receipt, appropriation, and other fund account symbols and titles-division of Central Accounts, Treasury Department;
 - k. GAO Manual for Guidance of Federal agencies;
 - l. Manual of Procedures and Instructions for Cashiers Operating Under EO 6166;
 - m. Financial Compound Interest and Annuity Tables (U.S. Treasury Department);
 - n. Household Goods Carriers' Bureau Mileage Guide;

- o. Bound Volumes of Decisions of Comptroller General;
 - p. Copy of SBA Form 649, "Listing of Collateral Documents," and copy of note on each outstanding loan in the region;
 - q. Copies of SBIC Notes and debentures maintained by Headquarters;
 - r. Financial and statistical reports on lending activities; Lease Guarantee; 8(a) contracts-trial balance/detail; 406 grants (contracts) - trial balance/detail; internal and external reports;
 - s. Administrative expense reports including reports on status of apportionments and important data that is recorded on machine runs and certain monthly, quarterly, semiannual, and annual reports;
 - t. Statement of authorized positions, employment, and ceilings;
 - u. SBA budget submissions (including OMB and Congressional copies);
 - v. Apportionment and Re-apportionment Schedules; and
 - w. Office of Management and Budget Circular No. A-11.
6. **What Records are Covered in the Vital Records Protection Program in the Office of the Inspector General, Investigations Division, Office of Security Operation's Records?**
- SBA Form 382, "Personnel Security Record Card."
7. **What Records are Covered in the Vital Records Protection Program in the Human Resources Records?**
- a. Federal Personnel Manual and related issuances and supplements;
 - b. OPM Mobilization Circulars and "National Emergency Standby Regulations and Instructions;"
 - c. OPM Handbook on Occupational Codes and Classes;
 - d. Position Classification standards for positions subject to classification Act of 1949;
 - e. OPM Handbook X-118 "Qualifications Standards;" and
 - f. Personnel Organization Roster, ADP monthly printout of Headquarters and field office positions by organization component.

8. **What Records are Covered in the Vital Records Protection Program in OCIO Records?**

SBA electronic tapes and hard copies of records consisting of information that could be used for the continuity of Agency operations in the case of an emergency. This material is stored either onsite or offsite at SBA's datacenter.

9. **What Records are Covered in the Vital Records Protection Program in the Office of General Counsel Records?**

- a. American Jurisprudence (complete);
- b. U.S. Code Annotated (complete);
- c. Opinion Digest; and
- d. Code of Federal Regulations (CFR).

10. **What Records are Covered in the Vital Records Protection Program in the Investment Records?**

List of licensed SBICs.

11. **What Records are Covered in the Vital Records Protection Program in Government Contracting Records?**

- a. Procurement Sources Printout (annual) (alphabetical and numerical);
- b. Certificate of Competency Records:
 - (1) SBA Form 104, "Performance Record of Company with a COC," and
 - (2) SBA Form 104A, "Contract Progress Report of COC;" and

12. **What Records are Covered in the Vital Records Protection Program in Miscellaneous Records?**

- a. National and District Advisory Councils.
- b. Delegations of Authority.

Appendix 1**Index to Forms and Reports****Form****Paragraph**

SF 115, "Request for Records Disposition Authority"

SBA 1474, "Records Transferral List"

SF 135, "Records Transmittal and Receipt"

SF 258, "Request to Transfer, Approval, and Receipt of Records to National Archives of the United States"

OF 11, "Reference Request Federal Records Center"

NA 13016, "Notice of Accession Location Change"

NA 13001, "Intent to Destroy Records"

SBA 1631, "Notification of Transfer or Destruction of Records"

Report**Paragraph**

Reserved

Appendix 2

Definitions

Accession is a group of records transferred to a Federal Records Center (FRC) for retirement or to the National Archives for permanent retention.

Accession Number is the number that is assigned to each series or records. The number is used to control and locate inactive records transferred to an FRC for storage.

Active Files are current records that contain information used in day-to-day operations. As a rule, files referred to at least once a month per file drawer as considered active.

Administrative Files contain material that relates to the housekeeping or management functions of an office rather than to the program or technical work, for example personnel and travel.

Appraisal is the process of determining the value and, thus, the disposition of records based on their administrative and other uses, their evidential, informational, or research value, their arrangement, and their relationship to other records.

Archival Records or permanent records are records appraised by NARA as having enduring value because they document the organization and functions of the Agency that created or received them or because they contain significant information on persons, things, problems, and conditions with which the Agency dealt.

Breakdown is the separation of the files into such basic types as General Correspondence (Subject) files, Transitory Correspondence, Case Files, Case Working Papers, Technical Reference Materials, Convenience Copies, and the like; the internal arrangement of basic file types by such filing features as names, places, numbers, dates, or subject categories; of the division or subdivision of subject categories into successively more specific classes.

Case Files means a grouping in one folder, or one set of folders, if volume warrants, all of the record material under a primary, secondary, or tertiary subject that pertains directly to one specific person, organization, project, etc. The contents of case files are restricted to records dealing only with the specific item for which the file was established, from its inception to its close. Within this restriction, the contents may include forms, reports, correspondence, and other material.

Centralized Files are files maintained in one location.

Central Records Unit (CRU) is a centralized file station, particularly in a SBA field office.

Charge Out is the action of recording the removal and loan of papers from a file or the loan of an active file to indicate its whereabouts.

Classify, Classification for this purpose means the assignment of a file category to documents. It does not include security classification of a document.

Coding is the process of implementing the file classification decision made and is the process of putting file designations on the records themselves.

Convenience Files are extra copies of records, personal papers, or publications maintained for ease of access and reference. They are sometimes referred to as a personal file.

Cross-reference Files are filing of duplicate documents when the same document is needed in two separate subject or case file folders.

Current Records are records that are actively used or necessary for conducting the current business of an office.

Cutoff means the closing or breaking off of a file and the establishment of new active files. For subject files, the cutoff is made when the case is closed or terminated. Accounting files are closed at the end of the fiscal year.

Decentralized Files permit each principal element to maintain its own files at the point of reference.

Disposal is the destruction of records.

Disposal Authority is the legal authorization for the disposal of records, obtained from the Archivist of the United States and, for certain series, from the Comptroller General. It is obtained by Agencies on Standard Form 115, "Request for Records Disposition Authority" or granted in the General Records Schedules (GRS).

Disposition means the action taken with records when they become inactive. It may be one of several things: retirement, disposal, transfer, or conversion to other forms such as microfilm.

Disposition Schedule is a schedule established for the mandatory disposition of recurring records series of an Agency.

Electronic Records are all information meeting the definition of records that is created, maintained, or stored on electronic media, such as magnetic tapes, magnetic disks, optical disks, floppy disks, drums, and cassettes.

Federal Records Center (FRC), sometimes referred to as Federal Archives and Records Center FARC, is a storage facility established for the receipt, maintenance, servicing, and disposition of files that are retired according to standards established in this SOP. The National Archives and Records Administration (NARA) operates the system of FRCs that SBA offices are authorized to use.

File is a folder, binder, ledger, container, or some other item used to house records or non-records. It may consist of several parts depending on the volume of material to be housed.

File Audit or Inspection is a systematic evaluation of files operations, including such matters as subject classification, coding, cross-referencing, retrieval time, accuracy of filing, use of cutoffs, and layout.

Files is a collective term usually applied to all records of an office or agency.

Files Custodian is an individual responsible for the establishment, maintenance, and operation of official files. He or she may also be referred to as record keeper.

Files Plan is a plan or outline designating the physical location at which the Agency's files are maintained, the specific types of files to be maintained there, and the organizational elements having custodial responsibilities. This may also be known as a Files Placement Plan.

Filing is the act of putting documents into their place according to an established system.

Follow-Up File is a file used as a means of checking on borrowed records and effecting their return to the files or as a reminder of the status of actions that must be completed by a specific date. These may also be called suspense files or tickler files.

General Correspondence File is a file consisting of correspondence on a number of subjects, as distinguished from a case file that contains correspondence about specific transactions or projects.

General Records Schedules (GRS) are schedules issued by the NARA to provide disposition standards for records common to several or all Agencies of the Federal Government.

Historical Value is the usefulness of records for historical research concerning the agency of origin or for information about persons, places, events, or things. See also Permanent Record.

Housekeeping Records are records of an organization that relate to budget, fiscal, personnel, supply, and similar administrative or facilitative operations normally common to most agencies, as distinguished from program records that relate to an Agency's primary functions. See also Administrative Files.

Inactive Records. See Non-current Records.

Index is any listing, separate collection of cards, extra copies or documents, cross-reference sheets, or other forms that may be arranged in a different sequence from that of the related main file. An index may be maintained manually or on any automated system and provides another way of finding a document other than by its file designation. For example, a contract file that is arranged numerically could have an index file arranged alphabetically by the name of the contractor.

Information Copy is an extra copy, other than the official file copy; it may be sent to individuals or offices with an interest in the subject discussed.

Inventory is a survey of files that generally includes such data as series title, inclusive dates, use, volume, arrangement, duplication, and other pertinent information. Use of such forms as GSA Form 3119, "Files Survey Record" facilitates the completion of inventories conducted prior to records schedules revisions.

Machine-Readable Records include all information meeting the definition of records that is created, maintained, or accessed by the use of a machine, such as a computer, word processing, microfilm, and audiovisual equipment.

Microfiche are cardsize, transparent sheets of film with miniaturized images arranged in rows to form a grid pattern.

Microfilm is a negative or a positive micro-photographic on film. The term is usually applied to a sheet of film or to a long strip or roll of film that is 16mm, 35 mm, 70mm, or 105mm in width and on which there is a series of microphotographs.

National Personnel Records Center, located in St. Louis, Missouri, is the depository for all inactive personnel folders. This Center also serves as the repository for all records in the St. Louis Metropolitan Area.

Non-current Records are records that are no longer required in the conduct of current business and therefore can be accessioned by an archival repository or destroyed. See also Current Records, Semi-current Records.

Non-record Material is material having no documentary or evidential value. This includes stocks of publications, standards library materials, duplicate copies of record material, such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value, drafts, worksheets, informal notes, and routing slips. Non-record materials are destroyed when their purpose is served.

Numeric Filing System is any classification system in which records are arranged by numbers. It may require alphabetic index to facilitate its use.

Official Files are files of SBA consisting of papers, photographs, maps, or other documentary materials, regardless of physical form or characteristics that have documentary or evidential value. Such papers, created or received in connection with the transaction of SBA business, are preserved as evidence of its organization, functions, policies, decisions, procedures, operations, or other activities because of their informational value. Official files, also referred to as record material, can be destroyed only according to the provisions of authorized disposition schedules.

Official File Station is the location in an organization unit where official record copies of

correspondence and other documents are maintained.

Official Record Copy is the documentation of any action, function, policy, or procedure related to the conduct of Federal business. It is the property of the United States and must be maintained according to the provisions of this SOP and the GRS. See Records.

Permanent Records are archival records appraised by NARA as having enduring value because the document the organization and function of the Agency that created or received them or because they contain significant information on persons, things, problems, and conditions with which the Agency dealt.

Personal Papers are papers of a private non-official character that are kept in the office of a Federal employee, official, or contractor that pertain only to that individual's personal affairs.

Program Records are records created or received and maintained by an Agency in the conduct of the functions for which it is uniquely responsible. The term is used in contrast with housekeeping or facilitative records.

Public Records are records accumulated by Government agencies and generally open to public inspection.

Reading Files consist of pink copies of documents arranged in chronological order for reference purposes. They are used mainly to keep subordinate offices informed of activities of the division or staff. They may also be referred to as a chronological or day file.

Recall means to withdraw, or call back, records that have been retired to an FRC.

Record Material is a term sometimes used interchangeably for records.

Records Manager is the person designated in OAS to coordinate with the Headquarters and field offices to fulfill the provisions of this SOP and underlying authorities and to liaise with NARA and FRC.

Records Liaison is the person designated in each office to fulfill the provisions of this SOP (under the supervision of the head of the office) and to liaise with OAS when necessary.

Records (sometimes referred to as official records) can be temporary or permanent but must meet the definition of "Official Files" above.

Retire is one of the ways to dispose of records. See Disposition.

Temporary Records meet the definition of official records but have no enduring value. They are approved by NARA for disposal, either immediately or after a specified retention period. Examples of temporary records are; correspondence below the director's level, convenience files, and time and attendance cards.

Appendix 3

SBA Subject Index with Cross Reference to the General Records Schedules (GRS)

This subject index covers all items that are listed in the SBA Disposition Schedules. Subject titles vary from office to office. New files should be set up only when the reference rate and volume of documents warrant a separate division. The Disposition Schedule or the General Records Schedule (GRS) is given for each subject to provide a quick reference to the appropriate disposition instructions. The program office must advise AIB when the index (and its related Disposition Schedule) needs to be updated and what changes are needed. AIB will work with NARA to get the recommended changes approved.

SBA SUBJECT INDEX		SBA OR GRS RECORDS GROUP	00 41 2 ITEM #
ADP			
	Cards & Punched Paper Tape	00	00:08
	Error - Edit Listing	00	00:09
	Facilities for Data Processing	00	00:06
	Plans	00	00:11
	Standards	00	00:12
BUDGETING AND ACCOUNTING			
	Administrative Accounting Ledgers & Reports	20	20:27- 20:27:23
	Allotment & Appropriations (general)	20	20:19
	Appropriation Hearings	20	20:01
	Batch Control Input Blocks	20	20:20
	Administrative Accounting SBA Form 249 "ADP Coding Document Accounting"	20	20:20:20
	Loan Accounting	20	20:20:01
	Borrowers ADP History Listing on Microfilm	20	20:26
	Borrowers Fiscal Loan Folder(s)	20	20:21
	Budget Execution	20	20:03
	Budget Submission, Estimate & Formulation	20	20:02
	Collateral File Folders	20	20:06
	Collateral Cashier	20	20:22
	Correspondence	5 (GRS)	3, 4
	Cost Reduction & Management Improvement	20	20:0

Estimates	5 (GRS)	2
Fund Accounting	20	20:25
Loan Accounting	20	20:28- 20:28:20
Management Accounts Report System (MARS)		
MARS 318	20	20:07
MARS 329	20	20:08
MARS 331	20	20:09
MARS 334	20	20:10
MARS 335	20	20:11
MARS 336	20	20:12
MARS 338	20	20:13
MARS 339	20	20:14
MARS 366	20	20:15
MARS 503	20	20:16
MARS 504	20	20:17
MARS 507	20	20:18
Schedules for Payment - Commercial	20	20:23
Schedules for Payment - GSA	20	20:24
Surety Bond Guaranty Transaction History File	20	20:05
Trial Balance	20	20:29
Checklist	00	00:17
Committees	00	00:03

Correspondence		
General Subject	00	00:01
Reading or Chronological File (pink)	00	00:02
Contracts	00	00:18
Section 7J		
Procurement	3 (GRS)	4
Delegations of Authority	00	00:16
Disaster		
Disaster Activity Report, SBA Form 524	55	55:05
Disaster Application/Loan Control Assembly SBA Form 932A	55	55:04
Disaster Declarations	55	55:03
Disaster Loans (general)	55	55:01
Disaster Loans (specific)	55	55:02
Equal Employment Opportunity	1 (GRS)	26
Facsimile Files	00	00:14
Federal Register Material	00	00:15
Finance		
Bank Participation Agreements	50	50:15
Blanket Guaranty Agreement SBA Form 750	50	50:16
Business Loans (general inquiries)	50	50:02
Business Loans 7(a)	50	50:13
Coordination and Liaison (on FA matters)	50	50:17
Daily Register and Loan Inquiries SBA Form 280	50	50:05

		00 41 2
Eligibility Decisions	50	50:18
Filing and Screening	50	50:19
Financial Appraisal	50	50:01
Lease Guarantee (general)	50	50:10
Lease Guarantee Reinsurance Files	50	50:12
Lease Guarantee (specific)	50	50:11
Liquidation and Disposal (general)	50	50:03
Liquidation - SBA Loans (charged-off)	50	50:04
Local Development Company Loan File (Section 502-503 Loans)	50	50:09
Loan Inquiry Record SBA Form 149	50	50:09
Loan Processing (general)	50	50:14
Loan Servicing (general)	50	50:06
RFC Loan Case Files (filed offices)	50	50:22
State and Local Development	50	50:07
State Development Company Case File (Section 501 Loans)	50	50:08
Surety Bond Guarantee	50	50:21
Freedom of Information Act	14 (GRS)	16-20
General Counsel		
Congressional Committees	70	70:05
Decisions-Opinions Interpretations	70	70:01
Legislation	70	70:04
Investment Program - Legal Administration Proceedings Records	70	70:08

Legislative History	70	70:06
Litigation & Court Proceedings (general)	70	70:07
Litigation - (loans – exclusive of SBICs & MESBICs)	70	70:09
Litigation (other than loans & SBICs)	70	70:11
Litigation - (SBIC – MESBIC)	70	70:10
Rules & Regulations	70	70:03
SBA Legislative Handbook	70	70:12
SBA Opinion Digest	70	70:02
Grants & Cooperative Agreements Section 7j	00	00:19
Hearings and Appeals		
Size Appeals Board Dockets	45	45:01
Size Decisions - Size Appeals Board	45	45:01
Inspector General		
Audits (general)	90	90:01
Audit Project Files	90	90:03
Audit Project Working Papers	90	90:04
Audit Report Files	90	90:02
Character Eligibility Files	90	90:20
Compliance Files SBA Form 707	90	90:08
Compliance Files SBA Form 747	90	90:09
Complaint (other agency) Hotline Referrals	90	90:19
Complaints (other than by SBA employees)	90	90:07
External Audits and Inspections (EO Act)	90	90:06

External Audits and Inspections (SBA Act)	90	90:05
General Correspondence (R" & O" Files)	90	90:11
Investigative Card File	90	90:12
Investigative File	90	90:10
Personnel Security (Investigative)	90	90:14
Selective Operational Review	90	90:13
SBA Hotline Administrative File	90	90:16
SBA Hotline Complaint File	90	90:18
SBA Hotline Complaint Log	90	90:17
Small Business Investment Co. Ownership	90	90:15
Investment		
Examination Project Files	10	10:09
Investment Administration	10	10:02
License Application - Withdrawal and/or Disapproved Case Folder	10	10:01
License Folder - SBICs - MESBICs	10	10:04
Licensee Operations Case Folder(s)	10	10:06
Loan Folder - SBICs - MESBICs	10	10:05
SBIC Liquidation	10	10:07
SBIC Liquidations (charged-off)	10	10:08
Statutory Provisions, Interpretations, SBIC Advisory Council, and Interagency Relationships	10	10:03
Management Assistance		
Attendees at Training Program	65	65:04

		00 41 2
Courses, Conferences, Workshops	65	65:02
Interviews	65	65:07
Management Assistance (general)	65	65:05
Management Assistance Plans and Evaluations	65	65:08
Management Counseling Case Files	65	65:06
Management Training (general)	65	65:01
Management Training Activity Report	65	65:03
Motion Pictures	65	65:12
Publications	65	65:09
SCORE Chapter(s)	65	65:10
SCORE Volunteers (data on individuals)	65	65:11
Sound Recordings	65	65:14
Video Recordings	65	65:13
Meetings		
Administrator	00	00:04
Associate and Assistant Administrators and Regional Administrators	00	00:21
Informal	00	00:20
Minority Small Business		
8(a) Business Plan File	80	80:03
8(a) Business Plan File (miscellaneous)	80	80:04
8(a) Subcontracts	80	80:01
8(a) Subcontracts (miscellaneous)	80	80:02
Notices	00	00:13

Payroll		
Leave Application Files	2 (GRS)	6a, b
Time and Attendance Source Records	2 (GRS)	7
Time and Attendance Input Records	2 (GRS)	8
Personnel		12
Awards	1 (GRS)	
Employee Suggestions	1 (GRS)	12a (1)
Adverse Actions	30	30:02
Grievances	30	30:03
Leave	30	30:03
Leave	2 (GRS)	8, 9, 10
Performance Ratings	1 (GRS)	9, 23
Training	1 (GRS) & 30	29 & 30:01
Privacy Act	14 (GRS)	21-26
Procurement Assistance		
Association and Inter-Industry Management Services	60	60:01
Certificate of Competency Case Folders	60	60:03
Certificate of Competency (COC) general	60	60:02
Delinquency (Loan Assistance)	60	60:12
Industrial Support (general)	60	60:11
Prime Contracting Assistance (Case Files)	60	60:07
Procurement Assistance	60	60:08
Procurement Automated Source System (PASS)	60	60:08

		00 41 2
Procurement Contracting Assistance (general)	60	60:06
Procurement Sources Program	60	60:04
Production Assistance	60	60:13
Property Resources Sales Assistance	60	60:09
Size Determinations	60	60:14
Size Interpretations	60	60:15
Subcontracting Program Exclusive of 8(a)	60	60:10
Property	00	00:05
Accountability & Inventory		
Public Affairs		
Congressional Relations	40	40:01
Official Portrait Photographs	40	40:03
State File	40	40:02
Reports	23 (GS)	1
Requisitions		
Printing	13 (GRS)	3
Supplies and Equipment	3 (GRS)	9
Special Programs		
Advisory Council Reporting Requirements	95	95:02
Computerized Internal Control Review	95	95:03
Economic Analysis & Research - general	95	95:07
Formal Internal Control Review (ICR)	95	95:04
Mission, Objectives, & Program Analysis	95	95:08
Organization and Management Studies	95	95:10
Program Activity Accomplishment Reports	95	95:06

SBA Advisory Councils	95	95:01
Technical Monitoring	95	95:09
Vulnerability Assessments	95	95:05
Travel		
Correspondence	9 (GRS)	5
Orders	9 (GRS)	4
Vouchers	6 (GRS) & 9 (GRS)	1 & 3,4

84-93 RESERVED

INTERPRETATION OF THE GENERAL RECORDS SCHEDULES

- a. The first page of the General Records Schedule (GRS) is a table of contents that lists the various records by schedule number, subdivided by function.
- b. The format of a particular GRS is:
 - (1) Column one - item number for each record in the GRS,
 - (2) Column two - description of record type,
 - (3) Column three - shows the authorized disposition of the record.
- c. To use the GRS:
 - (1) locate the schedule for the record group to be destroyed in the Table of Contents or the alphabetical Subject Index located at the end of the GRS,
 - (2) locate the item number,
 - (3) follow the instructions for destruction for that record group and item number,
 - (4) locate the appropriate forms in the index of Standard (SF) and Optional Forms (OF) which follows the alphabetical Subject Index.

Appendix 4

SF 115, "Request for Records Disposition Authority"

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 1. FROM (Agency or establishment) 2. MAJOR SUBDIVISION 3. MINOR SUBDIVISION 4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE		JOB NUMBER	
		DATE RECEIVED	
		NOTIFICATION TO AGENCY	
		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
		DATE	ARCHIVIST OF THE UNITED STATES
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

115-109 NSN 7540-00-634-4064 **STANDARD FORM 115 (REV. 3-91)**
 PREVIOUS EDITION NOT USABLE Prescribed by NARA
 36 CFR 1228

INSTRUCTIONS

GENERAL

Use Standard Form 115 to obtain authority for the disposition of records. Submit two signed copies to the National Archives and Records Administration (NIR), Washington, DC 20408, and retain one copy as your suspense copy. NARA will later return one copy as notification of the items approved for disposal or archival (permanent) retention. This copy will also indicate any items withdrawn or disapproved. GAO's written approval must either accompany each SF 115 requiring Comptroller General concurrence or be requested prior to the submission of the SF 115 to NARA. The SF 115 may be accompanied by Standard Form 115A, Continuation Sheet, by schedule items entered on blank stationery formatted similar to the SF 115A, or by pages formatted to conform to the agency's published records disposition schedule.

SPECIFIC

Entry 1 should show the name of the Executive Branch department or independent agency, Legislative Branch agency, or the Administrative Office of the U.S. Courts for the Judicial Branch that is submitting the request.

Entries 2 and 3 should show the major and minor organizational subdivisions that create or maintain the records described on the form. If more than one subdivision maintains records described in the submission, the various office names should be specified in entry 8.

Entries 4 and 5 should provide the name and telephone of the person to be contacted for information.

Entry 6 must be signed and dated by the agency official authorized to certify that the retention periods for records proposed for disposal are adequate to meet the agency's needs, and that GAO requirements have been met (check appropriate box). Unsigned SFs 115 will be returned to the agency.

Entry 7 should contain the item numbers of the records identified on the form in sequence, beginning with "1". Lower case letters and numbers may be used to designate subdivisions of an item (1a, 1b, 1b(1), 1b(2), etc.). Agency file numbers should not be entered in this column, but may be included in entry 8.

Entry 8 should describe the records to be scheduled. Follow these steps in describing the records:

a) Include centered headings for groups of items to indicate the office of origin if all records described on the form are not those of the same office, or if they are records created by another office or agency such as, for example, records inherited from a defunct agency.

b) Identify separate collections of nontextual records,

such as photographs, sound recordings, maps, architectural drawings, or magnetic tapes or disks, as separate and distinct items. If such records are interspersed with textual records, as in case files, their presence should be noted in the description of the textual file.

(c) Describe completely and accurately each series of records proposed for disposal or transfer to the National Archives. See 36 CFR 1228 for more detailed requirements. Failure to comply with the provisions of that regulation will result in the return of the SF 115 for corrective action.

(d) Provide clear disposition instructions for each item and subitem. These instructions should include file breaks; the time after which records will be retired to Federal Records centers, if applicable; for temporary records, the time after which they may be destroyed; and for archival (permanent) records, the time after which they will be transferred to the legal custody of the National Archives.

(e) If immediate disposal or transfer to the National Archives is proposed for non-recurring records, indicate the volume and inclusive dates of the records and the Federal Records Center accession and box numbers, if applicable.

(f) If future or continuing disposition authority is requested, state the retention period in terms of years, months, etc., or in terms of future actions or event. Ensure that any future action or event that must precede final disposition is objective and definite.

(g) If records are converted to electronic form, schedule both the original records and the electronic media, unless covered by the General Records Schedules.

(h) If permanent or unscheduled records are converted to microform, the disposition for both the original and microform copies must be approved on an SF 115. The SF 115 covering the microform must contain the certifications required by 36 CFR 1230. Approval is not required for the disposition of microform copies of records authorized for disposal, as specified in the regulation cited above.

Entry 9 must include the previous NARA disposition job and item numbers; General Records Schedule and item numbers, if applicable; and agency directive or manual and item numbers, if applicable, as required by 36 CFR 1228. If such information is missing from column 9, the SF 115 will be returned without action. Leave column 9 blank only if the records are being scheduled for the first time.

Entry 10 is for NARA use only and should be left blank.

STANDARD FORM 115 BACK (REV. 3-91)

REQUEST FOR RECORDS DISPOSITION AUTHORITY -- CONTINUATION		JOB NUMBER	PAGE OF
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
115-109	Two copies, including original, to be submitted to the National Archives and Records Administration.		

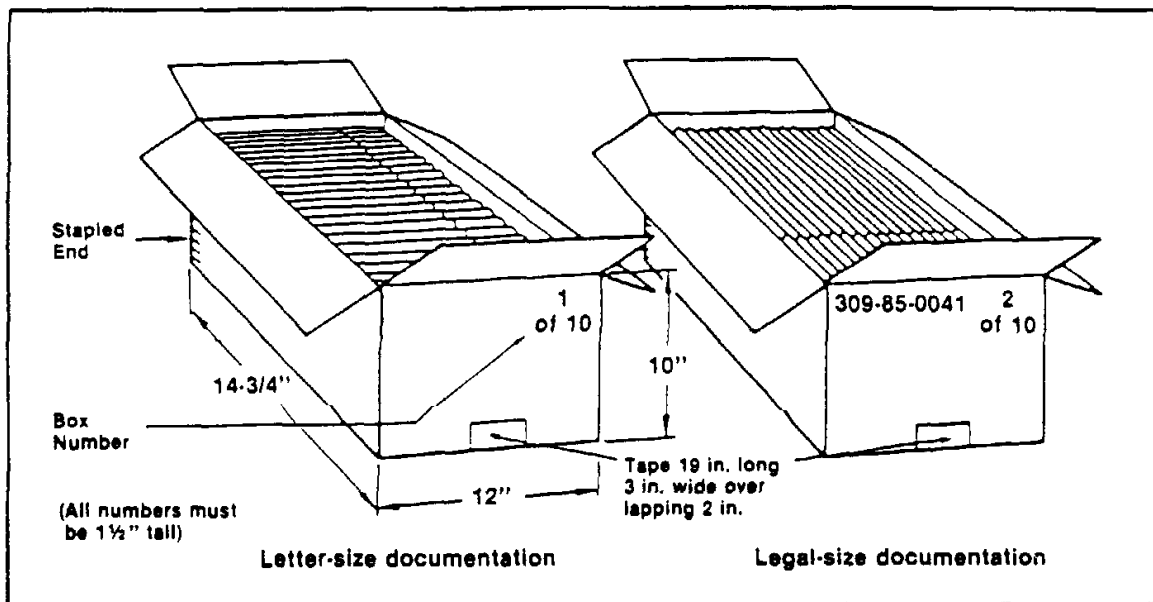
STANDARD FORM 115-A (REV. 3-91)
Prescribed by NARA
36 CFR 1228

Appendix 5

Packing and Labeling Records for Storage and Transfer

- a. The container used to transfer letter and legal-size documents is a cardboard box measuring 14-3/4 by 11 by 9-1/2 inches supplied by NARA. Each carton holds approximately one cubic foot of records. To estimate the number of boxes required, use the following guidelines:
 - (1) 3,000 letter-size sheets of paper equal one cubic foot of records.
 - (2) Each full letter-size drawer is equal to 1-1/2 cubic foot of records.
 - (3) Each full legal-size drawer is equal to 2 cubic feet of records.
 - (4) 1000-foot of motion picture containers can be stored 6 to a box.
 - (5) 100-foot, 35 mm microfilm reels can be stored 50 to a box.
 - (6) 100-foot, 16mm microfilm reels can be stored 100 to a box.
- b. Use the following GSA records storage boxes with staples in them as follows:
 - (1) Number the front of the boxes as follows:
 - (a) Write the accession number in the upper left hand corner of each box with a black magic marker.
 - (b) Number the boxes sequentially (1 of 10, 2 of 10, etc.) with a black magic marker in the upper right front corner. This keeps the boxes in sequence and serves as a count of the boxes being transferred.
 - (2) The stapled part of the box is the back; never number it.
 - (3) Place folders in boxes upright with:
 - (a) Letter size folders facing front of the box.
 - (b) Legal size folders facing the left side of the box.
 - (4) Do not place folders on top of files within the box.
 - (5) Do not force files into the boxes. Leave a half inch in each box for easy withdrawal and reference.
 - (6) Pack records in the same arrangement as used in the original file. Do not pack file guide cards.

- (7) Pack only records with the same disposal date authority and the same disposal date in the same carton.
- c. After packing:
- (1) Fold tops of boxes, but do not tape them.
 - (2) The Records Liaison must compare the records in the boxes with the inventory of contents.
 - (3) In Headquarters, contact AIB for pickup.
 - (4) In field offices, contact your respective NRC for pickup.



Appendix 7**Use of SF-135, "Records Transmittal and Receipt," and
SF-135A, "Records Transmittal and Receipt" (Continuation)**

- a. Prepare an original SF-135 and three copies.
 - (1) Retain one copy for reference.
 - (2) Forward the original and two copies to the FRC.
- b. Submit the completed SF-135 to the appropriate FRC at least 10 workdays before the date the records are expected to be shipped.
- c. Upon receipt of the SF-135, the FRC will:
 - (1) Complete its entries on the form, including the accession numbers;
 - (2) Return two copies of the SF-135 annotated with the FRC accession numbers and other FRC data; and
 - (3) Retain one copy of the annotated SF-135.
- d. Upon receipt of the annotated SF-135s from the FRC:
 - (1) Check against the reference copy to ensure that accession and shelf data have been provided by the FRC. Destroy the initial reference copy.
 - (2) File an annotated copy:
 - (a) As the record copy.
 - (b) For requesting temporary retrieval of the records from the FRC.
- e. Place the other annotated copy of the SF-135 in the first carton of the shipment when the records are shipped to the center.
- f. Complete transfer of records to FRC within 30 workdays after the receipt of the SF-135. If NARA has not received the shipment within 90 days, the SF-135 will be returned and a new one will have to be prepared and approved before the affected records may be transferred.

Appendix 8**List of Federal Records Centers
and Regional Archives****Federal Records Centers**

A table showing specific areas served by each Federal Records Center appears in 36 CFR 1228.

Federal Records Center-Los Angeles

24000 Avila Road
P.O. Box 6719
Laguna Niguel, CA 92607-6719

Federal Records Center-Atlanta

557 St. Joseph Avenue
East Point, GA 30344

Federal Records Center-New York

Building 22, Military Ocean Terminal
Bayonne, NJ 07002-5388

Federal Records Center - Boston

380 Trapelo Road
Waltham, MA 02154

Federal Records Center-Philadelphia

5000 Wissahickon Avenue
Philadelphia, PA 19144

Federal Records Center-Chicago

7358 South Pulaski Road
Chicago, IL 60629

Federal Records Center-San Francisco

1000 Commodore Drive
San Bruno, CA 94066

Federal Records Center-Dayton

3150 Springboro Road
Dayton, OH 45439

Federal Records Center-Seattle

6125 Sand Point Way, NE
Seattle, WA 98115

Federal Records Center-Denver

Building 48, Denver Federal Center

Effective Date: December 1, 1998

P.O. Box 25307
Denver, CO 80225

National Personnel Records Center

Civilian Personnel Records

111 Winnebago Street
St. Louis, MO 63118

Military Personnel Records

9700 Page Boulevard
St. Louis, MO 63132-5100

Federal Records Center-Fort Worth

501 West Felix Street
P.O. Box 6216
Ft. Worth, TX 76115

Federal Records Center-Kansas City

2312 E. Bannister Road
Kansas City, MO 64131

Washington National Records Center

4205 Suitland Road
Suitland, MD 20409
(for shipping only, use ZIP code 20746)

Regional Archives

National Archives-New England Region

380 Trapelo Road
Waltham, MA 02154

National Archives-Southwest Region

501 West Felix Street
P.O. Box 6216
Fort Worth, TX 76115

National Archives-Northeast Region

201 Varick Street, 12th Floor
New York, NY 100144811

National Archives-Rocky Mountain Region

Building 48, Denver Federal Center
P.O. Box 25307
Denver, CO 80225

National Archives-MidAtlantic Region

9th and Market Streets, Room 1350

Effective Date: December 1, 1998

Philadelphia, PA 19107

National Archives-Pacific Southwest Region

2400 Avila Road

P.O. Box 6719

Laguna Niguel, CA 92656

National Archives-Southwest Region

1557 St. Joseph Avenue

East Point, GA 30344

National Archives-Pacific Sierra Region

1000 Commodore Drive

San Bruno, CA 94066

National Archives-Great Lakes Region

7358 South Pulaski Road

Chicago, IL 60629

National Archives-Pacific Northwest Region

6125 Sand Point Way, NE

Seattle, WA 98115

National Archives-Central Plains Region

2312 East Bannister Road

Kansas City, MO 64131

National Archives-Alaska Region

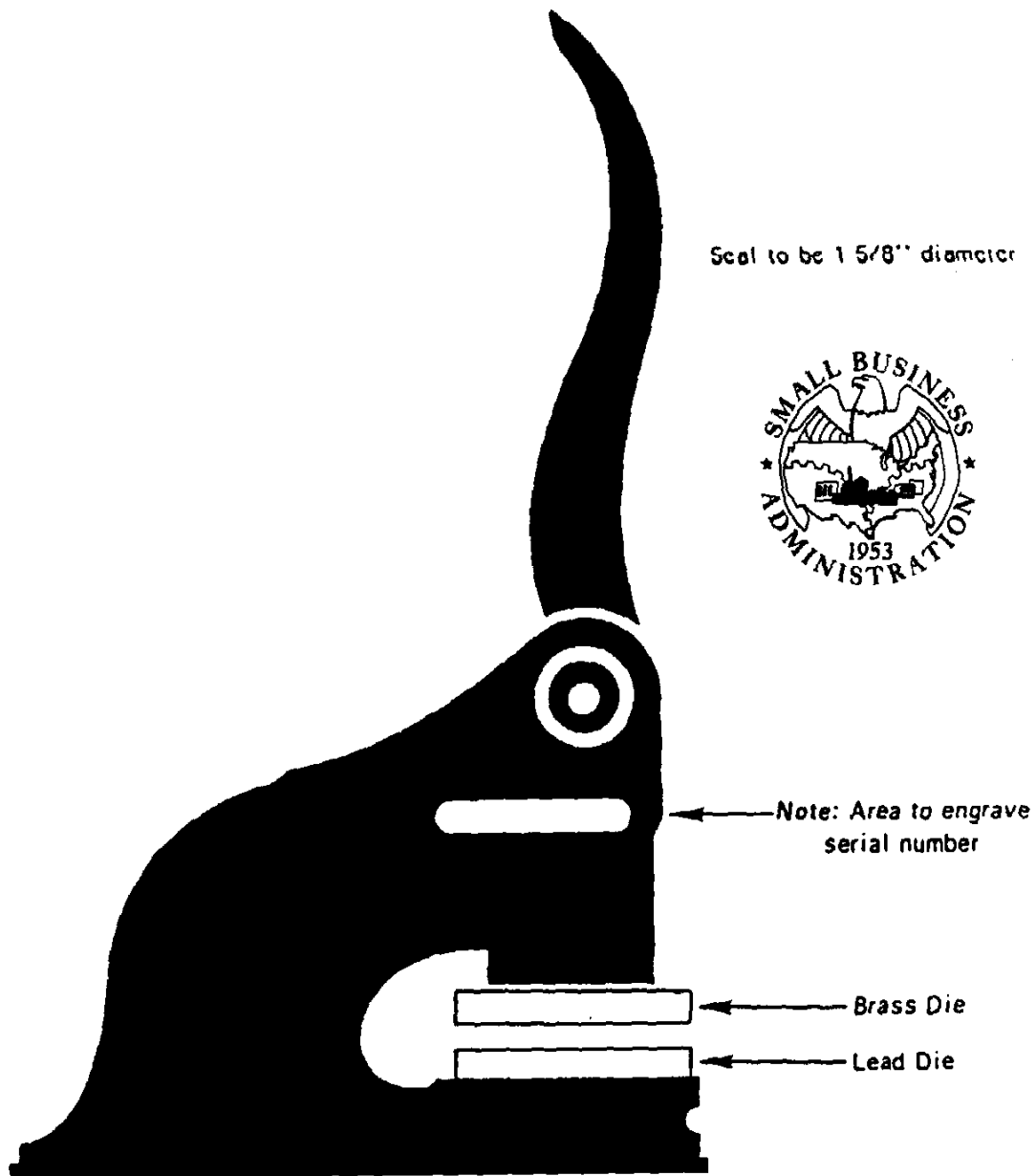
654 West Third Avenue

Anchorage, AK 99501

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Appendix 10

Embossing Machine



Appendix 11

Common Office Files

This section lists the location of disposition instructions in the General Records Schedule (GRS) for common office files (both record and non-record) that are accumulated in most SBA offices.

<u>TYPE OF FILES</u>	<u>GRS NO.</u>	<u>ITEM NO.</u>
Suspense (tickler) files	23	6 a and b
Transitory files	23	7 a, b, and c
Office Organizational Reference Files	23	1
Office Administration Files	23	1
Office Employee Travel Files	9	3
Office General Personnel Files	1	18
Office Individual Personnel Files	1	18
Office Personnel Locator Files	1	6
Job Description files	1	7 b
Indexes, Logs, Journals and Registers	23	5
Management Improvement Reports	16	5
Project Control Files	16	5
Committee and Conference files	16	8
Feasibility Studies	16	9

Appendix 12

Administration **Records Group 00**

This schedule outlines procedures for filing and disposing of records pertaining to SBA office services, procurement, supply, grants, and automatic data processing.

The key procurement and grant file is the transaction case file which contains the formal contract or informal purchase order, lease instruments and all related papers. File the following documents in the transaction file:

- purchase documents,

- specifications,

- bids,

- schedules of delivery,

- initiating requisitions,

- invoices, and

- correspondence.

Data processing material includes:

- automatic processing,

- electronic digital computer,

- data communication,

- equipment, and

- techniques.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
00:01	<p><u>General Subject Correspondence Files</u></p> <p>Correspondence, including memoranda, reports, forms, and other communications, maintained in all SBA program offices (Headquarters and field) that pertain to, and document the function of, the office, EXCLUDING administrative or housekeeping related records that are covered by GRS 23/1.</p> <p>File alphabetically, except Executive Secretariat only, file numerically, by subject each calendar year with color coded labels identifying each year.</p>	<p>Cutoff each calendar year.</p> <p>a. <u>Permanent</u></p> <p>Headquarters directors and above, regional administrators, district directors, branch managers, posts of duty, and disaster area offices.</p> <p>Transfer to NARA in 5-year blocks 20 years after cutoff.</p> <p>b. <u>Temporary</u></p> <p>All other offices, destroy 2 years after cutoff.</p>
00:02	<p><u>Reading or Correspondence Files</u></p> <p>Extra copies of correspondence prepared and maintained by the originating office, used as a reading or reference file. Note: a record copy must be prepared and filed in the appropriate function/subject file.</p>	<p>Cutoff each calendar year.</p> <p>Destroy 1 year after cutoff. These are temporary.</p>
00:03	<p><u>Committees</u></p> <p>Retain material pertaining to all officially recognized committees established by SBA, and other committees of an interagency nature if SBA participates or is a member and SBA's interests are represented. Include lists of SBA members, other members, committee releases and publications, etc. File chronologically by committee name.</p>	<p>These are <u>permanent</u> records. Cutoff each calendar year.</p> <p>Transfer to FRC 3 years after cutoff.</p> <p>Offer to NARA in 5-year blocks, 20 years after cutoff.</p>
00:04	<p><u>SBA Administrator's Meetings</u></p> <p>Retain agenda, transcripts, recordings of meetings, lists of participants, decisions, etc. Also retain statements made by or on behalf of the Administrator before Congressional Committees.</p>	<p>a. <u>Headquarters</u></p> <p>These are <u>permanent</u> records. Cutoff each calendar year. Transfer to FRC 3 years after cutoff.</p>

File chronologically.

Offer to NARA in 5-year blocks, 20 years after cutoff.

b. All other offices

These are temporary records. Retain 1 year after cutoff and then dispose.

00:05 Property Accountability and Inventory

Maintain card record according to instructions in property accountability.

File by office, region, or district.

Cutoff each fiscal year or when inventory is updated.

Destroy 2 years after cutoff or after reconciliation of reinventory.

00:06 Facilities for Data Transfer

Retain punch cards, paper, tape, magnetic tape disks, machine use data, communications use, and related service requirements and use.

File by type of facility.

Cutoff each calendar year.

Erase data 2 years after cutoff.

00:07 Reserved

00:08 Automatic Data Processing Cards and Punched Paper Tape.

Machine readable information separate from input documents for processing ADP system.

File by system or subsystem.

Cutoff after verification of magnetic tapes.

Destroy immediately at time of cutoff.

00:09 Error-Edit Listing

Computer generated listing used to verify data input to ADP system.

File by system/subsystem name (designator).

Cutoff when listings have been verified.

Destroy when updated or no longer needed.

00:10 Reserved

00:11 ADP Plans

Includes studies and plans relating to the use and management of the ADP and data communications within SBA.

File alphabetically by study.

Cutoff each calendar year following implementation of plan, completion of study or fulfillment of requirement.

Transfer to FRC 2 years after cutoff.

Destroy 10 years after cutoff.

00:12 ADP Standards

Includes Data Processing Procedures, studies relating to Federal Standardization Program, Federal Information Processing Standards.

File by standard or publication.

Cutoff when standard is superseded or obsolete.

Retain 2 years after cutoff, then destroy.

00:13 Notices

Notices are temporary directives, agency communication, procedures, and information concerning agency programs.

(a) AIB in Headquarters and Regional Offices issuing Notices must maintain a master set.

(b) Headquarters program offices must maintain a desk reference set of Notices.

(c) All field offices must maintain a desk reference set of Notices issued from Headquarters.

NI 309-94-1

Cutoff after expired or cancelled.

(a) Notices issued by Headquarters and Regional Offices are **permanent** and must be retained as part of the directives system by the issuing office.

Paper Records Destroy after microfilm has been verified by SBA staff that an accurate and correct copy has been made. Offer expired notices to NARA in 5-year blocks, 20 years after cutoff.

(b) Volume on hand: Approx. 8 cubic feet.

Annual Accumulation: Less than 2 cubic feet.

Restrictions: None.

00:14 Facsimile Files

File copies of incoming messages and original outgoing messages, and miscellaneous correspondence chronologically.

Cutoff each calendar year.

(a) Headquarters offices - destroy 1 year after cutoff.

(b) Field offices - destroy 6 months after

cutoff.

00:15 Federal Register Material

Includes items forwarded to the *Federal Register* for publication; viz: delegations, organizational material, listing of Agency officials, etc.

File chronologically.

Cutoff each calendar year.

Transfer to FRC 2 years after cutoff.

Destroy 6 years after cutoff.

00:16 Delegation of Authority

Includes material pertaining to issuance of delegations of authority to key SBA officials and lines of succession to principal positions within the Agency.

(a) Headquarters Office - maintain a record copy.

(b) Field office - maintain a current copy.

File numerically, by date of issuance.

Cutoff when delegation or lines of succession are canceled or superseded.

(a) Headquarters Office - these are permanent records and HQ will retain a master set of all delegations as official record copy. A master set of current lines of succession will also be retained.

Transfer to FRC 5 years after cutoff.

Offer to NARA in 5-year blocks 20 years after cutoff. (e.g., offer 1970-74 block in 1995).

(b) Field offices - maintain only current sets of delegations and lines of succession applicable to the regional and district office involved.

Superseded or canceled issuances to be destroyed 2 years after cutoff.

00:17 Checklists

Weekly compilation of SBA's issuances and cancellations of Standard Operating Procedures (SOPs), Notices, forms and publications

File chronologically by number.

NI-309-94-1

Cutoff each calendar year.

(a) Headquarters Office - These are permanent records.

Paper Records Destroy after microfilm has been verified by SBA staff that an accurate and correct copy has been made.

Volume on Hand: Approx. 2 cubic feet.

Annual Accumulation: less than 1 cubic foot.

Restriction: None.

Microfiche. These records are permanent. After verification process, store offsite. Transfer silver-based microfiche and one diazo copy to NARA in 5-year blocks. 20 years after cutoff.

Other diazo copies destroy when no longer needed.

Volume on Hand: Approx. 2 cubic feet.

Annual Accumulation: less than 1 cubic foot.

Restriction: None.

(b) Field offices - destroy 1 year after cutoff.

00:18 Section 7j Contracts

Includes all contracts and related papers and reports prepared under authority of Title IV, Section 406, Economic Opportunity Act of 1964, as amended.

File numerically, by contract number.

Cutoff when contract has been completed or terminated by other means.

Transfer to FRC 2 years after cutoff.

Destroy 6 years 3 months after cutoff.

00:19 Section 7j Grants and Cooperative Agreements

Includes all grants and related papers and reports prepared under authority of Title IV, Section 406, Economic Opportunity Act of 1964, as amended.

File alphabetically by name of grantee.

Cutoff when work to be performed under provisions of grants or cooperative agreements has been completed or terminated by other means.

Transfer to FRC 2 years after cutoff.

Destroy 6 years 3 months after cutoff.

00:20 Informal Meetings

Includes engagements, invitation, visits, etc.

Cutoff each calendar year.

Destroy 1 year after cutoff.

00:21 Associate, Assistant, and Regional Administrator's Meetings

	Includes agendas, transcripts, and recordings of meetings, lists of participants, decisions, etc.	Cutoff each calendar year. Destroy 2 years after cutoff.
00:22	<u>Rejected Grant Application Files</u> Applications, memoranda, correspondence and other records relating to rejected grant proposals. File numerically based on grant type.	NI 309-90-02 Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 5 years after cutoff.
00:23	<u>Formal Directives, Procedural and Operating Manuals</u> Includes formal directives distributed as orders, circulars, loose-leaf manual form announcing major changes in SBA's policies and procedures (SOPs). These are issued by the Administrator. Extensive procedures are detailed in SBA's Standard Operating Procedures (SOPs). File numerically by program office.	NI 309-90-02 Cutoff when directive has been issued in final. a. <u>Paper Records</u> Destroy after microfilm has been verified by SBA staff that an accurate and correct copy has been made. <u>Volume on hand:</u> Approximately 9 cubic feet. <u>Annual Accumulation:</u> less than 1 cubic foot. <u>Restrictions:</u> None. b. <u>Microfiche.</u> These are <u>permanent</u> records. After verification process, store offsite. Transfer silver-based microfiche and one diazo to NARA in 5-year blocks. Destroy other diazo copies when no longer needed. <u>Volume on hand:</u> 1-2 cubic feet. <u>Annual Accumulation:</u> less than 1 cubic foot. <u>Restrictions:</u> None. c. <u>Working Papers</u> Destroy 2 years after cutoff.
00:24	<u>Organizational Files</u> Includes organizational charts, reorganizational studies and functional	NI 309-90-02 Cutoff when updated.

statements. Graphic illustrations provide a detailed description of the arrangement and administrative structure of the functional units of SBA. Reorganization studies are conducted to design an efficient organizational framework most suited to carrying out SBA's programs and include materials such as final recommendations, proposals, and staff evaluations. These files also contain administrative maps that show the regional boundaries and Headquarters of decentralized agencies or that show the geographic extent or limits of SBA's programs and projects. Functional statements are formally prepared descriptions of the responsibilities assigned to the senior executive officers of SBA at the division level and above. If the functional statements are printed in Code of Federal Regulations (CFR), they are not designated for preservation as a separate series.

File by year, by organization.

These records are permanent. Transfer to NARA in 5 year blocks when 10 years old.

Volume on hand: Approximately 9 cubic feet.

Annual accumulation: Less than 1 cubic foot.

Restrictions: Restrictions of public use, just those of Privacy Act and FOIA.

00:25 Grants and Agreements with Institutions of Higher Education, and Other Nonprofit Organizations

Includes financial records, supporting documents, statistical records and all other records pertaining to agreements and issuances by the Office of Small Business Development Centers.

File alphabetically by name of institution.

NI 309-90-02

Cutoff from date of annual financial status report.

Headquarters and field offices

a. Grant Case Files

These records are permanent. Cutoff each fiscal year. Transfer to NARA in 5 year blocks.

Volume on hand: Approximately 5 cubic feet.

Annual accumulation: 1-2 cubic feet.

Restrictions: None.

b. Program Files: Destroy when 6 years 3 months old.

Appendix 13**Investment**
Records Group 10

This schedule outlines the instructions for filing and disposing of records relating to the Small Business Investment Company (SBIC) Program conducted under the provisions of the Small Business Act of 1958. The SBIC Program is designed to promote and license private investment companies that in turn finance small firms by making loans and supplying equity capital.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
10:01	<u>License Application - Withdrawn and/or Disapproved Case Folder</u> Includes denied or withdrawn proposals or applications with supporting exhibits and related correspondence. File numerically by license number or alphabetically by name of applicant.	Cutoff on notification of action taken. Destroy 2 years after cutoff.
10:02	<u>Investment Administration</u> Includes miscellaneous material and general correspondence that does not pertain to a specific applicant or licensee, such as, inquiries from persons seeking interviews and counseling with licensees, general information on investment program, etc. File alphabetically by name of firm or inquirer.	Cutoff each calendar year. Destroy 1 year after cutoff.
10:03	<u>Statutory Provisions, Interpretations, SBIC Advisory Council, and Interagency Relationships</u> Includes general material pertaining to SBIC legislation (exclusive of OGC material filed under OGC categories), rules and regulations, matters on SBIC Advisory Council, and interagency relationships with SEC, Internal Revenue and other agencies on investment matters that do not involve a specific applicant or licensee.	Cutoff each calendar year. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.
10:04	<u>License folder - SBICs - MESBICs</u> Includes all documentation and material pertaining to the initial processing of business applications and the granting of	Cutoff after license is canceled or surrendered.

licenses. Also includes all material and documentation evidencing amendments to the license application, including all applications for such amendments.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

10:05 Loan Folder - SBICs - MESBICs

Includes all documentation and material pertaining to the initial processing of leverage applications and the granting of leverage. Also includes all material and documentation evidencing subsequent leverage including all applications for such leverage.

Cutoff when license is canceled or surrendered.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

File numerically by license number.

10:06 Licensee Operations Case Folder(s)

Includes all documentation and material related to regulating, and to the operation of licensees including financial reports, examination reports, and correspondence to and from licensee.

Cutoff after license is canceled or surrendered.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

File numerically by licensee number.

10:07 SBIC Liquidations

Includes all SBIC liquidation cases that have been paid in full through liquidation or charged-off final by SBA-327 or otherwise.

Cutoff when paid-in-full or charged off-final.

Transfer to FRC 2 years after cutoff.

Destroy 6 years after cutoff.

File by SBIC case number.

10:08 SBIC Liquidations, (Charged-off)

Includes all SBIC liquidation cases that have been charged-off by SBA 327 or otherwise.

Cutoff at end of calendar year in which case was charged-off.

File by SBIC number, apart and separate from SBIC paid cases. File

Transfer to FRC cases on which no action has been taken within 2 years from date of charge-off.

custodian will mark the outside folder of such cases "Charged-off" and date action taken; information to be taken from file copy of SBA-327.

Destroy 6 years and 3 months after cutoff.

10:09 Examination Project Files

Includes folders covering:

- (a) data applicable to the current examination;
- (b) historical SBIC corporate information;
- (c) material on portfolio small business concerns;
- (d) prior examination reports and related correspondence;
- (e) SBA required financial report submissions by the SBIC and
- (f) analysis of various balance sheet accounts, and related data.

Cutoff at end of fiscal year license is canceled or surrendered by any means.

Transfer to FRC 2 years after cutoff.

Destroy 10 years after cutoff.

File numerically by license number.

Appendix 14**Budget and Accounting**
Records Group 20

This disposition schedule outlines material regarding annual deficiency and supplemental estimates and appropriations; apportionments, allocations, allotments, and transfer of funds, maintenance of accounts including: accounting, financial, financial examination and reporting for all appropriations made available to the Small Business Administration (SBA).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
20:01	<p><u>Appropriations Hearings</u></p> <p>Includes Congressional bills, hearings, and legislative history relating to SBA expenditures, operations, and appropriations.</p> <p>File numerically by Congressional bill and by fiscal year.</p>	<p>Cutoff each fiscal year.</p> <p>(a) <u>Headquarters Office (Budget)</u> Transfer to FRC 2 years after cutoff.</p> <p>Destroy 7 years after cutoff.</p> <p>(b) <u>All other offices</u> destroy 2 years after cutoff.</p>
20:02	<p><u>Budget Submission, Estimate and Formulation</u></p> <p>Includes allowances, justifications, and submissions.</p> <p>File chronologically and by fund:</p> <ol style="list-style-type: none"> (1) Salaries and Expenses (2) Business Loan File (3) Disaster Loan Files (4) Surety Bond File (5) Loans 	<p>Cutoff each fiscal year.</p> <p>(a) <u>Headquarters Office (Budget)</u> Transfer to FRC 2 years after cutoff.</p> <p>Destroy 7 years after cutoff.</p> <p>(b) <u>All other offices</u> destroy 2 years after cutoff.</p>
20:03	<p><u>Budget Execution</u></p> <p>Includes allotment advices, revisions, apportionments, ceiling limitations; employment; cost distribution; staffing use of fund; financial planning.</p> <p>File by fiscal year, by allottee account number.</p>	<p>Cutoff each fiscal year.</p> <p>(a) <u>Headquarters Offices (Budget)</u> transfer to FRC 2 years after cutoff.</p> <p>Destroy 7 years after cutoff.</p> <p>(b) <u>All other offices</u> destroy 2 years after cutoff.</p>
20:04	<p><u>Cost Reduction and Management Improvement</u></p> <p>Includes evaluation of feeder reports and preparation of reports to the Office Of Management and Budget (OMB) and Congressional Committees.</p>	<p>Cutoff on submission of official reports.</p> <p>(a) Office conducting study or creating report will retain original.</p> <p>Transfer original to FRC 2 years after cutoff.</p>

File chronologically by office or subject.

Destroy 7 years after cutoff.

- (b) Offices retaining receiving copies or furnishing feeder data destroy material 2 years after cutoff.

20:05 Surety Bond Guaranty Transaction History File.

Includes changes and adjustments to administrative accounting transactions.

Cutoff when updated or each fiscal year.

File by month.

Destroy 3 years after cutoff.

20:06 Collateral File Folders

These files are maintained separately from the loan binders. They are set up by the collateral clerk in each loan office for retention of original, nonnegotiable collateral and related documents and copies of certain other collateral type instruments.

Cutoff when loan is paid or charged-off final.

NOTE: Refer to SOP 20 05 for instructions pertaining to safeguard procedures.

(a) Files that pre-date 1984 and cannot be filed with an existing charged-off loan filed under SOP 00 41 50:04: destroy immediately.

(b) Files dated 1985-90 and cannot be filed with existing charged-off loan; retire to FRC when no longer needed. Destroy in 2000.

(c) Files dated 1991-94 and cannot be filed with existing charged-off loan file; retire to FRC when no longer needed. Destroy in 2004.

(d) Files dated 1995 and continuing; merge with docket file, i.e., the charged-off loan file (SOP 00 41 50:04) when the loan is charged-off.

File alphabetically by name of borrower.

Return all custody documents, such as note, standby agreements, title policies or abstracts to borrower when loan is paid or closed. Note: As loan balance is reduced, SBA servicing officer may authorize collateral clerk to return certain collateral documents to borrower, other than the note.

FRC transfer not applicable to collateral file.

20:07 Management Accounts Report System MARS-318

	Reconciliation of SBA Loan Accounting ADP files by Subsidiary Account.	Cutoff each fiscal year. Destroy 2 years after cutoff.
	File chronologically.	
20:08	<u>MARS 329</u>	
	List of undelivered loan checks by borrower.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
20:09	<u>MARS 331</u>	
	Repayment Analysis of Loan Sold to FFB.	Cutoff each quarter.
	File chronologically.	Destroy 3 months after cutoff.
20:10	<u>MARS-334</u>	
	Detail Listing of Outstanding 503 Development Company Guaranteed Debentures	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
20:11	<u>MARS 335</u>	
	Reconciliation of MARS 310/319 Report.	Cutoff each quarter.
	File chronologically.	Destroy 3 months after cutoff.
20:12	<u>MARS 336</u>	
	Listing of differences on Bank Serviced Immediate Participation Loans.	Cutoff each quarter. Destroy 3 months after cutoff.
	File chronologically.	
20:13	<u>MARS 338</u>	
	Small Business Investment Company	Cutoff each quarter.

	Cross Reference List by SBIC name.	Destroy 3 years after cutoff.
	File chronologically.	
20:14	<u>MARS 339</u>	
	Small Business Investment Company Cross Reference List by License Number.	Cutoff each quarter.
	File chronologically.	Destroy 3 months after cutoff.
20:15	<u>MARS 366</u>	
	Payment to Federal Financing Bank (FFB) for Section 503 Debentures.	Cutoff semi-annually.
	File chronologically.	Destroy 6 months after cutoff.
20:16	<u>MARS 503</u>	
	Detail Listing of Loan Receivables Having Minimum Balances.	Cutoff semi-annually.
	File chronologically.	Destroy 3 months after cutoff.
20:17	<u>MARS 504</u>	
	Detail Listing of Post Due miscellaneous Receivables - CPC and Receivable Expense.	Cutoff semi-annually.
	File chronologically.	Destroy 3 months after cutoff.
20:18	<u>MARS 507</u>	
	Detail Listing of Loan Having Negative Balance.	Cutoff semi-annually.
	File chronologically.	Destroy 3 months after cutoff.
20:19	<u>Allotment and Appropriations (general)</u>	

Includes SBA Form 752 "Allotment Advice", SBA Form 753, "Operating Budget Plan", and Treasury Department Warrants, correspondence, exclusive of budget.

Cutoff each fiscal year.

Destroy 1 year after cutoff.

File chronologically.

20:20 Batch Control Input Blocks

20:20:01 Loan Accounting

File by type of block and batch number.

Cutoff each month.

Destroy 3 months after cutoff.

20:20:02 Administrative Accounting SBA Form 249 :ADP Coding Document Accounting".

File by type of block and batch number.

Cutoff each month.

Destroy 3 years after cutoff.

20:21 Reserved

20:22 Collection Cashier

Includes SBA Form 573, "Cash Collateral and Abeyance Item Register"; SBA Form 230, "Receipt for Payment"; Form TUS 5504, "Debit Voucher"; SBA Form 368, "Collections Disaster Deferred Participation Loans Purchased"; and documents relating to the receipt and disposition of money remitted; issuances of past due notices; delinquency liquidation; maintenance of collateral, and collateral inventory, imprest fund, and other related material.

Cutoff when file is closed or action completed.

(a) Denver forward original copy to FRC 2 years after cutoff.

Destroy 6 years 3 months after cutoff.

(b) All other offices destroy 3 years after cutoff.

File by type of collection document involved.

20:23 Schedules for Payment-Commercial Invoices

Includes Government Printing Office, commercial telephone companies, etc.

File alphabetically by name of company or claiming agency.

Cutoff each fiscal year.

Transfer to FRC on completion of GAO site audit or 2 years after cutoff, whichever comes first.

Destroy 6 years and 3 months after cutoff.

20:24 Schedules for Payment to General Services Administration

Includes schedules for telephone, motor pool, and Federal supply.

File chronologically by office.

Cutoff each fiscal year.

Transfer to FRC on completion of GAO site audit or 2 years after cutoff, whichever comes first.

Destroy 6 years and 3 months after cutoff.

20:25 Fund Accounting

Includes status of revolving and trust funds, reports.

File by type of fund.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

20:26 Borrowers' ADP History Listing on Microfilm

Complete SBA history of all Borrowers. Provides working copy for an audit trail. COM 16mm microfilm in plastic cartridges, loan or name sequence, number consecutively by year, by rolls.

File numerically by date of film.

Cutoff each fiscal year.

SBA Computer Output Microfilm COTR will forward together two silver halide original and a high quality diazo copy of annual history to FRC 5 years after cutoff.

Destroy 40 years after cutoff.

20:27 Administrative Accounting Ledgers and Reports

Daily and/or Cycle, Monthly, Nationwide,
and Allottee computer output, reports,
listings which includes the following
through 20:27:23:

20:27:01 <u>Daily Cash Listing, by Fund, by Ledger, and by schedule.</u>	Cutoff each fiscal year.
File by fund; by ledger and schedule.	Destroy 1 year after cutoff.
20:27:02 <u>Batch Control Totals Listing</u>	Cutoff each fiscal year.
File by fund; by ledger and schedule.	Destroy 1 year after cutoff.
20:27:03 <u>Batch Edit Reject Listing</u>	Cutoff each fiscal year.
File by fund; by ledger and schedule.	Destroy 1 year after cutoff.
20:27:04 <u>General Ledger History Listing</u>	Cutoff each fiscal year.
File by fund; by ledger and schedule.	Destroy 1 year after cutoff.
20:27:05 <u>Allotment Ledger History Listing</u>	Cutoff each fiscal year.
File by fund; by ledger by schedule, monthly.	Destroy 1 year after cutoff
20:27:06 <u>Nationwide Transaction Code Summary</u>	Cutoff each fiscal year.
File by fund; by ledger, by schedule, monthly.	Destroy 1 year after cutoff.
20:27:07 <u>Allottee Transaction Code Summary</u>	Cutoff each fiscal year.
File by fund, by ledger, by schedule monthly.	Destroy 1 year after cutoff.
20:27:08 <u>Nonbudgetary Transactions</u>	Cutoff each fiscal year.
File by fund, by ledger, by schedule monthly.	Destroy 1 year after cutoff.
20:27:09 <u>Summary Journal Listing</u>	Cutoff each fiscal year.
File by fund; by ledger, by schedule	

monthly.	Destroy 1 year after cutoff.
20:27:10 <u>Monthly Cash Listing</u>	Cutoff each fiscal year.
File by fund; by ledger, by schedule monthly.	Destroy 2 years after cutoff.
20:27:11 <u>General Ledger Trail Balance</u>	Cutoff each fiscal year.
File by fund; by ledger, by schedule monthly.	Transfer to FRC 2 years after cutoff.
	Destroy 10 years after cutoff
20:27:12 <u>Nationwide Cost Report, by Allottees</u>	Cutoff each fiscal year.
File chronologically by month.	Destroy 1 year after cutoff.
20:27:13 <u>Nationwide Cost Report (by Object Classes)</u>	Cutoff each fiscal year.
File chronologically by month.	Destroy 1 year after cutoff.
20:27:14 <u>Nationwide Cost Report (by Subobject Class)</u>	Cutoff each fiscal year.
File chronologically by month.	Destroy 1 year after cutoff.
20:27:15 <u>Nationwide Cost Report (by Activity)</u>	Cutoff each fiscal year.
File chronologically by month.	Destroy 1 year after cutoff.
20:27:16 <u>Nationwide Cost Report (by Subactivity year)</u>	Cutoff each fiscal year.
File chronologically by month.	Destroy 1 year after cutoff.
20:27:17 <u>Nationwide Cost Report (by Subactivity, by Object Class)</u>	Cutoff each fiscal year.
File chronologically by month.	Destroy 1 year after cutoff.
20:27:18 <u>Nationwide Cost Report (by Subactivity by Subobject Class)</u>	Cutoff each fiscal year.

File chronologically by month.	Destroy 1 year after cutoff.
20:27:19 <u>Allottee Cost Report (by Subject Class)</u>	
File chronologically by month.	Cutoff each fiscal year.
	Destroy 1 year after cutoff.
20:27:20 <u>Allottee Cost Report (by Subactivity)</u>	
File chronologically by month.	Cutoff each fiscal year.
	Destroy 1 year after cutoff.
20:27:21 <u>Allottee Cost Report (by Activity, by Object Class)</u>	
File chronologically by month.	Cutoff each fiscal year.
	Destroy 1 year after cutoff.
20:27:22 <u>Allottee Cost Report (by subactivity, by subobject)</u>	
File chronologically by month.	Cutoff each fiscal year.
	Destroy 1 year after cutoff.
20:27:23 <u>Location Cost Report</u>	
File chronologically by month.	Cutoff each fiscal year.
	Destroy 1 year after cutoff.
20:28 <u>Loan Accounting</u>	
Includes loan accounting cycle output listing; registers; reports (20:28 - 20:28:20):	
20:28:01 <u>Detail Listing of Outstanding Stop Actions and Borrower Accounts Processed Manually</u>	
File chronologically by month.	Cutoff each quarter.
	Destroy 3 months after cutoff. (cyclic)
20:28:02 <u>Block Proof Listing, Cyclic</u>	
File by block, monthly.	Cutoff each quarter.
	Destroy 3 months after cutoff.

20:28:03 Transaction Register, Cyclic.

File chronologically, by month/cyclic.

Cutoff each month.

Destroy 6 months after cutoff.

20:28:04 Edit Listing of Rejected Transactions, Cyclic.

File chronologically by month/cyclic.

Cutoff each fiscal year.

Destroy 2 years after cutoff.

20:28:05 Listing of Transactions Placed in Suspense during Daily Cycle.

File Chronologically by month/cycle.

Cutoff each fiscal year.

Destroy 2 years after cutoff.

20:28:06 Monthly Report of Loan Activity in Participation Pool (SBA share); Federal Assets Financing Trust; Federal Assets Liquidation Trust, monthly

File chronologically by month.

Cutoff each fiscal year.

Destroy 2 years after cutoff.

20:28:07 Status of Loans Outstanding (SBA Share) monthly

File chronologically by month.

Cutoff each fiscal year.

Destroy 2 years after cutoff.

20:28:08 Detail Listing of Outstanding Items in Suspense Accounts, monthly

File chronologically by month.

Cutoff each fiscal year.

Destroy 2 years after cutoff.

20:28:09 Monthend Summary of Transactions by Programs; Loan Type and Ledger Account, monthly.

File chronologically, by month.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 6 year and 3 months after cutoff.

20:28:10 Monthend Summary of Transactions by

Transaction and Ledger Account,
monthly.

File chronologically, by month.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

20:28:11 Summary Listing of Loan Approvals
Outstanding - Fully Undisbursed,
Quarterly

File chronologically by month.

Cutoff each fiscal year.

Destroy 2 years after cutoff.

20 28:12 Summary listing of loan approvals
partially undisbursed, quarterly.

File chronologically, by month.

Cutoff each fiscal year.

Destroy 2 years after cutoff.

20:28:13 Monthly Summary of Accrued Interest
Receivables, Monthly

File chronologically by month.

Cutoff each fiscal year.

Destroy 2 years after cutoff.

20:28:14 General Ledger Trial Balance (On and Off
Line) Monthly

File chronologically by month.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 10 years after cutoff.

20:28:15 Summary Reconciliation of General
Control Accounts with Detail Listing of
Subsidiary Accounts, Monthly

File Chronologically by month.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

20:28:16 Detail Listing of Assets, Liabilities and Memorandum; Subsidiary Accounts, Monthly

File chronologically by month.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

20:28:17 Summary of Subsidiary Account Balance to General Ledger Control, Monthly

File chronologically by month.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

20:28:18 Summary of Average Loan Maturity, Annual

File chronologically by month.

Cutoff each fiscal year.

Destroy 2 years after cutoff.

20:28:19 Cash Receipt Control Register - (All Programs), Annual

File chronologically by year.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

20:28:20 Cash Disbursement Control Register - (All Programs), Annual.

File chronologically by year.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

20:29 Trail Balance

Ledgers and listings as set forth in
20:29:01 - 20:29:03

20:29:01 Lease Guarantee Trial Detail, Monthly

File chronologically by month.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

20:29:02 8(a) Contract Trial Balance Detail,
Monthly

File chronologically by month.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

20:29:03 406 Grant (Contract) Trail Balance
Detail, Monthly

File chronologically by month.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

20:30 Time and Attendance Reports

N1-309-87-1

Deleted

See GRS 2/6, 7&8

Appendix 15

Personnel Records Group 30

This schedule covers the disposition of personnel records wherever they are located in SBA. Personnel records not covered in this disposition schedule are covered under the General Records Schedule (GRS) 1.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
30:01	<u>Training Records</u>	NI 309-90-02
	a. One copy of each manual, syllabus, textbook, and other aid developed by SBA or contracted by SBA that reflects the Agency's mission.	These records are <u>permanent</u> . Cutoff when materials are superseded. Retire to FRC 2 years after cutoff. Transfer to NARA when 10 years old in 5 year blocks.
	File alphabetically.	<u>Volume on hand:</u> 5 cubic feet. <u>Annual accumulation:</u> Less than 1 cubic foot. <u>Restrictions:</u> None.
	b. Record copy of each manual, syllabus, textbook, and other training aid for housekeeping, facilitative, and other non-program function.	
	File alphabetically.	Destroy 3 years after superseded.

30:02 Administrative Grievance Files (5 CFR 771)

Includes records relating to employee grievances, **except EEO complaints**, i.e., statement of witnesses, reports of interviews and hearings, recommendations, the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

File cases alphabetically.

These records are temporary.
Destroy 7 years after case is closed.
The 7 year retention period applies to all cases, new, open and closed.

Restrictions

Privacy Act. SBA Systems of Records No. SBA 060.

30:03 Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432)

Includes files relating to removal, suspension, reduction-in-grade, and furlough against employees. The file includes a copy of the proposed adverse action and supporting documents, statements of witnesses, employee's reply, hearing notices, reports and decisions, reversal of action, and appeal records.

Excluding letters of reprimand which are filed in the Official Personnel File (OPF).

File cases alphabetically.

These records are temporary.
Destroy 7 years after case is closed.

Restrictions

Privacy Act. Office of Personnel Management (OPM) System of Records No. OPM/GOVT-3.

The retention period applies to all files, closed, open or new cases.

Appendix 16**Public Affairs**
Record Group 40

This schedule outlines procedures for filing and disposing of records pertaining to information services performed by the Small Business Administration (SBA). This office maintains liaison with Congressional Committees and Members of Congress on matters of interest to SBA; serves as primary contact point for all SBA communications with Congress, reviews and concurs in all outgoing correspondence to Members of Congress.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
40:01	<u>Congressional Relations</u> Correspondence and material with individual Congressmen, Chairman of Congressional Committees, and their staffs relating to activities and programs of SBA. File chronologically.	Cutoff each calendar year. Destroy 3 years after cutoff.
40:02	<u>State File</u> Includes background data of value of Congressional and Legislative Affairs on loans made, SCORE publicity, youth opportunity campaigns, and assistance rendered to small business. File by name of city and state.	Cutoff each calendar year. Destroy 2 years after cutoff.

40:03

Official Portrait Photographs

Includes official portrait photographs of SBA officials at the office level and above.

All official portrait photographs must include negative as well as a photographic print indexed by name of individual and include official title, date of photographs and any copyright restriction.

File alphabetically by name.

(a) Headquarters Offices These records are permanent. Offer directly to NARA 1 year after each Presidential Inauguration (January 20).

(b) Field offices - destroy when 5 years old.

40:04

Public Relations Files

NI 309-90-02

a. Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agency or senior assistant concerning programs of SBA. The speeches and addresses may be presented to executives from other Federal agencies, representatives of State and local governments, or private groups, such as college and university students, business associations, and cultural news media commentators. The format selected may be paper, audio or video or motion picture file.

These records are permanent. Transfer textual records to NARA in 5 year blocks when 10 years old.

Volume on hand: Approx 6 cubic feet.
Annual accumulation: 1-2 cubic feet.

File by calendar year, by individual.

Restrictions: None.

b. News Releases. One copy of each prepared statement or announcement issued for distribution to the news media. News releases announce events such as adoption of new agency programs, termination of old programs, major shifts in policy, and changes in senior personnel and may be textual record such as a formal press release or non-textual record, such as film and video or sound recordings.

These records are permanent. Transfer textual records to NARA in 5 year blocks when 10 years old.

Volume on hand: Approximately 6 cubic feet.
Annual accumulation: Less than 1 cubic foot.

File by calendar year, by press release number.

40:05

Still Photography

NI 309-90-02

Record elements include:

Black and white and color negative photography
The original negative, a captioned print, and for color negative photography, a duplicate negative if one exists.

Color transparency and slide photography: the original and a duplicate.

Slide sets or filmstrips and accompanying audio recordings or scripts: 2 copies.

Black and white photograph files pertaining to important subjects that relate to the agency's mission. File by subject and date.

Cutoff each calendar year.

These records are permanent.

- (a) Headquarters Offices Transfer original negative and captioned print to NARA 5 years after cutoff.

Volume on hand: Approximately 4 cubic feet.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

- (b) Field Offices Transfer original negative and captioned print to regional archives 5 years after cutoff.

Volume on hand: Less than 1 cubic feet.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:06

Color Photographic Files

NI 309-90-02

pertaining to important subjects that relate to the Agency's mission.

File by subject and date.

Cutoff each calendar year.

- (a) Headquarters Offices Transfer original negative and captioned print to NARA 5 years after cutoff.

Volume on hand: Approximately 4 cubic feet.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

- (b) Field offices Transfer original negative and captioned print to

regional archives 5 years after cutoff.

Volume on hand: Less than 1 cubic feet.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:07

All Other Slide or Filmstrips

NI 309-90-02

pertaining to important subjects relating to the Agency's mission.

Cutoff each calendar year.

File alphabetically by subject.

These records are permanent.

- (a) Headquarters Offices Transfer 2 copies to NARA 5 years after cutoff.

Volume on hand: Less than 1 cubic feet.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

- (b) Field Offices Transfer 2 copies to regional archives 5 years after cutoff.

Volume on hand: Less than 1 cubic feet.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:08

Posters

NI 309-90-02

Posters distributed agency-wide or to the public.

Cutoff each calendar year.

File alphabetically by subject.

These records are permanent.

Transfer 2 copies of previously issued posters to NARA immediately.

Transfer 2 copies of newly issued posters to NARA when distributed agency-wide.

Volume on hand: Less than 1 cubic

foot.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:09

Motion Pictures

NI 309-90-02

Includes

1 Agency sponsored films: the original negative or color original plus separate sound track, an intermediate master positive or duplicative negative plus optical sound track, and a sound projection print or a video recording.

2 Acquired films: two projection prints or one projection print and a video recording.

SBA sponsored television public service (spot) announcement.

File alphabetically by subject.

Cutoff each calendar year.

These records are permanent. Transfer original to NARA 1-year after change of Administrator.

Volume on hand: Approximately 3 cubic feet.

Annual accumulation: Less than 1 cubic foot.

Restriction: None.

40:10

SBA Sponsored "How TO"

NI 309-90-02

Training films that explain SBA functions or activities intended for internal external distribution.

File alphabetically, by year.

Cutoff each calendar year.

These records are permanent. Transfer original to NARA 3 years after cutoff.

Volume on hand: 1-2 cubic feet.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:11

Films

NI 309-90-02

acquired under grant that are submitted to SBA.

File alphabetically by grant.

Cutoff each calendar year.

These records are permanent. Transfer original to NARA 3 years after cutoff.

Volume on hand: 1-2 cubic foot.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:12

Video Recordings

NI 309-90-02

Includes the original or earliest generation of recordings, and a dubbing if one exists.

Cutoff each calendar year.

SBA sponsored television news releases or information reports.

These records are permanent. Transfer original to NARA 5 years after cutoff.

File alphabetically by subject.

Volume on hand: Less than 1 cubic foot.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:13

SBA sponsored television public service, or "spot" announcements.

NI 309-90-02

File alphabetically by subject.

Cutoff each calendar year.

These records are permanent. Transfer original to NARA 5 years after cutoff.

Volume on hand: Less than 1 cubic foot.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:14

SBA sponsored "how to" video productions.

NI 309-90-02

File alphabetically by subject.

Cutoff each calendar year.

These records are permanent. Transfer originals to NARA 5 years after cutoff.

Volume on hand: Less than 1 cubic foot.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:15

Recordings of public meetings

NI 309-90-02

or speeches, SBA sponsored conferences, guest speakers, and testimony of SBA officials before the

Cutoff each calendar year.

These records are permanent.

Congress and at other hearings.

Transfer original to NARA 4 years after cutoff.

File by subject, by date.

Volume on hand: Less than 1 cubic foot.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:16

Media appearances

NI 309-90-02

by top SBA officials.

Cutoff each calendar year.

File by name, by year.

These records are permanent. Transfer originals to NARA 4 years after cutoff.

Volume on hand: Less than 1 cubic foot.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:17

Sound Recordings

NI 309-90-02

Includes magnetic audio tape recordings (reel-to-reel, cassette or cartridge): the original or earliest generation or each recording, and a dubbing, if one exists.

Cutoff each calendar year.

These records are permanent. Transfer to NARA 4 years after cutoff.

Recordings of public meetings or speeches, SBA sponsored conferences, guest speakers, and testimony of SBA officials before the Congress and at other hearings.

Volume on hand: Less than 1 cubic foot.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

File by subject, by date.

40:18

Recordings

NI 309-90-02

or programs produced under grant that reflect the Agency's mission and submitted to SBA.

Cutoff each calendar year.

These records are permanent. Transfer originals to NARA 2 years after cutoff.

File by title, by year.

Volume on hand: Less than 1 cubic

foot.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

40:19

Media Appearances

NI 309-90-02

by top SBA officials.

Cutoff each calendar year.

File by name.

These records are permanent. Transfer originals to NARA 4 years after cutoff.

Volume on hand: Less than 1 cubic foot.

Annual accumulation: Less than 1 cubic foot.

Restrictions: None.

Appendix 17**Finance**
Records Group 50

This schedule outlines the procedures for filing and disposing of records pertaining to financial assistance activities concerning business loans to individuals, business firms, and nonprofit organizations; loans to State and local development companies; lease guarantees; and services rendered by SBA for the Department of Commerce on loans made by the Economic Development Administration, or other Federal agencies.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
50:01	<p><u>Financial Appraisal (general)</u></p> <p>Includes EDA Department of Commerce correspondence and miscellaneous material, that does not pertain to a specific SBA loan or application, and which deals with appraisal matters not covered under other categories listed in this schedule.</p> <p>File alphabetically by name of inquirer, or subject as appropriate.</p>	<p>Cutoff each calendar year.</p> <p>Destroy 1 year after cutoff.</p>
50:02	<p><u>Business Loans - (general inquiries)</u></p> <p>Includes general correspondence regarding: inquiries on SBA 7(a) business loan and other miscellaneous material on the 7(a) loan program that does not pertain to a specific loan or application.</p> <p>File alphabetically by name of inquirer, or by subject.</p>	<p>Cutoff each calendar year.</p> <p>Destroy 1 year after cutoff.</p>
50:03	<p><u>Liquidation and Disposal (general)</u></p> <p>Includes general correspondence and material on SBA-SBIC loan liquidation activities that does not pertain to a specific loan or application.</p> <p>File numerically or alphabetically by name of borrower or subject.</p>	<p>Cutoff each calendar year.</p> <p>Destroy 1 year after cutoff.</p>
50:04	<p><u>Liquidation - SBA Loans (charged off)</u></p> <p>Includes all liquidation cases on SBA loans that have been classified in this category by SBA-327 action, or otherwise.</p> <p>File alphabetically by name of</p>	<p>Cutoff closed files at the end of the calendar year. Loan Specialists will assist the file custodians to remove those for forwarding to the FRC on which no recovery action has been taken within 3 years.</p>

borrower, apart and separate from SBA paid loans. File custodian will make the outside folder of such cases "charge off closed", and date action taken; date information to be taken from file copy of SBA-327.

Retire closed files to FRC when 3 years old. Destroy 10 years after closing. (Closed files will be retained in agency space for 3 years, and retained in the FRC a total of 7 years.)

50:05 "Loan Inquiry Record" SBA Form 149

Represents a log record made by field office at time a prospective SBA borrower or person seeking assistance from SBA is interviewed.

Cutoff each calendar year or when SBA Form 149 is 1 year old.

File alphabetically by name of inquirer or firm, except when a loan application is accepted and docketed and such correspondence becomes a part of the loan case file.

Except for those Forms 149 which become a part of an accepted loan case file, and Forms 149 on Section 501-502-503 cases, interview record Form 149 may be disposed of after it is 1 year old.

Destroy 2 years after cutoff.

50:06 Loan Servicing (general)

Includes correspondence and miscellaneous material on loan servicing which does not pertain to a specific loan.

Cutoff each calendar year.

Destroy 1 year after cutoff.

File alphabetically by name of inquirer, or subject, as appropriate.

50:07 State and Local Development

Includes general correspondence and miscellaneous material on Section 501-502-503 activities, that does not pertain to a specific loan or application.

Cutoff each calendar year.

Destroy 1 year after cutoff.

File alphabetically by name of inquirer, or subject as appropriate.

50:08 State Development Company Case File (Section 501 loans)

Includes "SD" application, authorizations, correspondence, forms and reports pertaining to loans to State Development companies.

File alphabetically by name of applicant or borrower.

Cutoff

- (a) On notification of withdrawal, declination, or cancellation of application, or
- (b) On payment in full of outstanding loan, or
- (c) Closing of loan by charge-off final.

Retention Period

- (a) On application withdrawn, declined, or canceled; destroy 2 years after notification.
- (b) On outstanding loans, hold for 2 years after paid or closed by charge off-final and then forward to FRC.

Destroy 6 years and 3 months after cutoff.

50:09

Local Development Company Loan File (Section 502-503 Loans)

Includes "LD" applications, authorizations, and amendments; credit file including applications, credit reports and releases financial statements, leases and agreements; bids, stock-by laws; reports of appraisers, correspondence; loan servicing documents containing copies of collateral such as notes, mortgages, guaranty, loan agreements, opinions of counsel, liquidation matters including collateral purchased; and billing and collection documents.

File alphabetically by name of applicant or borrower.

Cutoff - notification of:

- (a) withdrawal, declination, or cancellation of application.
- (b) On payment in full or charge-off final.

Retention Period

- (a) On application withdrawn, declined, or canceled; destroy 2 years after notification.
- (b) On outstanding loans, hold for 2 years after paid in full or closed by charge-off final and then forward to FRC.

Destroy 6 years and 3 months after

close of case.

50:10	<p><u>Lease Guarantee (general)</u></p> <p>Includes general correspondence and miscellaneous material on lease guarantee program, that does not pertain to a specific lease guarantee application.</p> <p>File alphabetically by name of inquirer or subject as appropriate.</p>	<p>Cutoff each calendar year.</p> <p>Destroy 1 year after cutoff.</p>
50:11	<p><u>Lease Guarantee (specific)</u></p> <p>Includes application, supporting papers, correspondence, authorization, examiner's reports, and other material pertaining to a specific lease guarantee.</p> <p>File alphabetically by name of applicant.</p>	<p>Cutoff at time lease guarantee expires, or when lease guarantee is canceled or terminated by other action.</p> <p>Destroy 3 years after cutoff.</p>
50:12	<p><u>Lease Guarantee Reinsurance Files</u></p> <p>Includes application, supporting papers, correspondence, authorizations, examiner's reports, and other material pertaining to a specific reinsurance file.</p> <p>File alphabetically by name of applicant.</p>	<p>Cutoff 6 months after reinsurance certificate is issued.</p> <p>Transfer to FRC 3 years after cutoff.</p> <p>Destroy 10 years after cutoff.</p>
50:13	<p><u>Business Loans (7(a))</u></p> <p>All business loans case files which are accepted for processing. Includes material on the following type:</p> <p><u>Business - Section 7(a)</u> Direct Immediate Participation Guaranty</p> <p><u>Economic Opportunity</u></p>	<p>Cutoff:</p> <p>(a) on approved loans when loan is paid or charged off-final.</p> <p>(b) for withdrawn, declined, or canceled application when notification of final action.</p> <p>Disposition:</p> <p>(a) On approved loans, forward</p>

to FRC 1 year after cutoff.

Direct
Immediate Participation
Guaranty

Destroy closed loans (paid
or charged off-final) 6 years
and 3 months after cutoff.

Handicapped Assistance - Section
7(g) - Loans to Nonprofit
Organizations

(b) For withdrawn, declined, or
canceled applications,
destroy 2 years after cutoff.

Direct
Immediate Participation
Guaranty

Loans to Handicapped Owners

Direct
Immediate Participation
Guaranty

File numerically by loan number or
alphabetically by borrower or business
name.

50:14

Loan Processing - (general)

Includes general correspondence and
miscellaneous material on loan
processing which does not pertain to a
specific loan or application.

Cutoff each calendar year.

Destroy 1 years after cutoff.

File alphabetically by name of inquirer,
or by subject as appropriate.

50:15

Bank Participation Agreements

Includes agreements with banks, and
other lending institutions.

Cutoff when provisions of
agreement have been met and loan is
satisfied.

File alphabetically by name of
institution.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after
cutoff.

50:16

Blanket Guaranty Agreement SBA
Form 750

	Includes contract between SBA and bank to participate in guarantee.	Cutoff after canceling agreement with SBA.
	File alphabetically by name of bank.	Transfer to FRC 2 years after cutoff.
		Destroy 6 years and 3 months after cutoff.
50:17	<u>Coordination and Liaison (on FA matters)</u>	
	Includes liaison with public media, American Bankers Association, retail credit associations, credit bureaus, and lending institutions.	Cutoff each calendar year.
	File alphabetically by name of bank or institution.	Destroy 2 years after cutoff.
50:18	<u>Eligibility Decisions</u>	
	Includes correspondence and material relating to eligibility matters on various issues pertaining to SBA loanmaking NOTE: If a decision relates to a specific loan such material is filed with the loan.	Cutoff each calendar year.
		Destroy 2 years after cutoff EXCEPT those decisions that are related to a specific loan and are included in the loan file.
50:19	<u>Filing and Screening</u>	
	Includes records relating to financial statement, credit rating and review, appraisals, and miscellaneous workpapers.	Cutoff each calendar year except material placed in a loan case file.
	File alphabetically, by name of potential applicant.	Destroy 2 years after cutoff.
50:20	<u>"Loan Inquiry Record" SBA Form 149</u>	
	Represents a record made by field office at time a prospective SBA borrower or person seeking assistance from SBA is interviewed.	Cutoff each calendar year.
		Destroy 2 years after cutoff.
		FRC transfer not applicable

File alphabetically by name of inquirer or firm. When a loan application is accepted, such correspondence becomes a part of the loan case file.

(EXCEPT for documents which constitute a part of an accepted loan case file.)

50:21

Surety Bond Guarantee

(a) Includes financial information, and SBA Forms

(a) Regional Office cutoff at end of fiscal year after last SBA guaranteed contract completed.

(b) Specific correspondence which supports SBA guarantee of a contractor's work which includes above information for contractor that has gone into default.

Transfer to FRC 2 years after final closing date.

Destroy 6 years after closing date.

File alphabetically by name or numerically by surety number.

(b) Headquarters Office Cutoff when all claims paid and collection activity finished.

Transfer to FRC 2 years from final closing date.

Destroy 6 years after final closing.

50:22

RFC Loan Case Files (field offices)

Includes all outstanding RFC loan cases in liquidation on which collection and servicing is being made at this time in an SBA field office.

Cutoff when loan is paid, charged off-final, or charged off-closed.

File numerically by RFC loan number.

(a) On paid or charged off-final cases retain for 2 years after cutoff and forward to FRC.

FRC will dispose of RFC paid and charged off-final loans 6 years after cutoff.

(b) On charged off-closed cases FA loan specialist will assist file custodians in screening these cases at the end of each calendar year to remove those for forwarding to FRC

00 41 2

on which no recovery action
has been taken within 3 years
from date case was closed.

FRC will dispose of RFC
charged off-closed cases 6
years after cutoff.

Appendix 18**Disaster**
Records Group 55

This schedule outline procedures for filing and disposition of records pertaining to activities concerning SBA Disaster loans to individuals, business firms, and nonprofit organizations.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
55:01	<p><u>Disaster Loans (general)</u></p> <p>Includes general correspondence and miscellaneous material on SBA Section 7(b) disaster loan programs that does not pertain to a specific loan or application maintained in Disaster Area Offices.</p> <p>File alphabetically by name of inquirer, or by subject as appropriate.</p>	<p>NI-309-95-2</p> <p>Cutoff each calendar year.</p> <p>Destroy 1 year after cutoff.</p>
55:02	<p><u>Disaster Loans (specific)</u></p> <p>Includes material on 7(b) loan applications from persons, business firms, and institutions to alleviate the effect of disaster and economic injury, physical disaster, business disaster, home disaster, major source of employment.</p> <p>File numerically by loan number or alphabetically under name of borrower (home loans) or name under which borrower is or will be doing business (disaster business loans).</p>	<p>(a) On approved loans, cutoff when loan is paid or charged off-final.</p> <p>Forward approved loans, to FRC 1 year after cutoff. Destroy approved loans 6 years and 3 months after cutoff.</p> <p>(b) For withdrawn, declined, or canceled applications, cutoff on notification of final action.</p> <p>Withdrawn, declined, canceled applications, destroy 2 years after cutoff.</p>
55:03	<p><u>Disaster Declarations</u></p> <p>Issued by SBA for disaster relief which includes physical damage and economic injury as a result of Major, Administrative, Secretary of Agriculture or other declarations.</p> <p>File either numerically by disaster declaration or alphabetically by state.</p>	<p>NI-309-95-2</p> <p>Cutoff when area or location is no longer classified as disaster area.</p> <p>Transfer to FRC 5 years after cutoff.</p> <p>Transfer to NARA in 5-year blocks 20 years after cutoff. <u>Volume on hand:</u> 594 <u>Annual Accumulation:</u> 100 <u>Restrictions:</u> Do not release any</p>

financial information on specific individuals or businesses.

55:04	<u>Deleted</u>	
55:05	<u>"Disaster Activity Report" SBA Form 524</u>	
	Used by field to report statistical disaster loan applications.	Cutoff on completion of disaster.
	For filing instructions, see SOP 50 30.	(a) <u>Headquarters Offices</u> - retain as long as useful.
		(b) <u>Field offices</u> destroy on completion of disaster.
55:06	<u>Former and Current Disaster Employees, SBA Form 145</u>	NI-309-95-1
	Includes employees who have been previously employed in the Office of Disaster Assistance and some current employees.	The records are <u>temporary</u>
	File alphabetically by the employee's last name in card file or computer database.	Destroy when no longer needed.
		Privacy Act Systems of Record 145.
55:07	<u>DECLINE OF DISASTER DECLARATIONS</u>	A. Headquarters. Destroy when 20 years old.
	Issued by SBA when Governor's request to the Administrator for a disaster declaration for physical damage and/or for economic damage is turned down.	B. All other copies destroy when 5 years old.
	Records files alphabetically by State and thereunder by calendar year.	

Appendix 19**Procurement Assistance**
Records Group 60

This schedule outlines procedures for filing and disposing of records pertaining to SBA procurement assistance program. In general, this includes contracting and procurement assistance, property sales assistance; Certificates of Competency (COCs); and size determinations.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
60:01	<p><u>Association and Inter-Industry Management Services.</u></p> <p>Includes encouragement of participation by larger manufacturers, wholesalers and trade associations in management training programs for small business managers. Include: technical assistance workshop data which were conducted by large firms for their subcontractors and customers.</p> <p>File by region and thereunder by district.</p>	<p>Cutoff each calendar year.</p> <p>Destroy 2 years after cutoff.</p>
60:02	<p><u>Certificates of Competency (COC) – general</u></p> <p>Includes general correspondence and miscellaneous material on SBA-COC activities which is not covered elsewhere.</p> <p>File alphabetically by name of inquirer, or by subject, as appropriate.</p>	<p>Cutoff each calendar year.</p> <p>Destroy 1 year after cutoff.</p>
60:03	<p><u>Certificate of Competency Case Folders</u></p> <p>These case file folders are in four parts and the internal filing arrangement is provided for in SOP 60 04. These files contain:</p> <ul style="list-style-type: none"> (a) Application declined or withdrawn during processing (b) Successful COC contract (c) Contract terminated by procuring agency (d) COC issued but contract was not awarded to applicant. <p>File alphabetically by name under</p>	<p>Cutoff each calendar year or when notice of final action is taken.</p> <p>Destroy 2 years after cutoff.</p>

which applicant is doing business.

60:04

Procurement Sources Program

Includes general correspondence and miscellaneous material.

Cutoff when firm is removed from list.

File alphabetically by name of inquirer, or by subject as appropriate.

Destroy 1 year after cutoff.

60:05

Procurement Automated Source System (PASS)

Data collection from SBA-1167 used by small businesses listing them in SBA's computerized data bank. PASS is used to assist small firms in Government contracting and subcontracting opportunities.

Contractor will destroy SBA Form 1167 90 days after entry into data base.

60:06

File by computerized data bank.
Procurement Contracting Assistance (general)

Includes general correspondence and miscellaneous material on SBA procurement contracting assistance programs.

Cutoff each calendar year.

Destroy 2 years after cutoff.

File alphabetically by name of inquirer, or by subject as appropriate.

60:07

Prime Contracting Assistance (Case Files)

Includes aid to individual small concerns to resolve prime contract problems on specific Government contracts. Involves obtaining settlement on a specific claim, resolving disputes with contracting officers, and assisting a firm in avoiding default on a contract. Small Business Act, Section 8(g).

Cutoff upon completion of contract of final payment.

Transfer to FRC 2 years after cutoff.

Destroy 6 years and 3 months after cutoff.

File alphabetically by name of contractor.

60:08	<u>Procurement Assistance</u>	<p>Procurement Center Representatives - includes records relating to set asides, breakouts, source referrals, and other functions performed by PCRs reviews of purchasing installations by SBA personnel.</p> <p>File alphabetically by name of subject.</p>	<p>Cutoff each fiscal year.</p> <p>Transfer to FRC 2 years after cutoff.</p> <p>Destroy 6 years and 3 months after cutoff.</p>
60:09	<u>Property Resources Sales Assistance</u>	<p>Includes all records relating to assistance to small firms in purchasing Government Surplus property or Federal timber.</p> <p>File alphabetically by name or subject.</p>	<p>Cutoff each fiscal year.</p> <p>Transfer to FRC 2 years after cutoff.</p> <p>Destroy when 5 years old.</p>
60:10	<u>Subcontracting Program (Exclusive of 8(a))</u>	<p>Includes periodic reviews and visits to prime contractors to review source requests for subcontracting, visits to small plants to determine ability to fulfill specific subcontracting requests, and develop source data for subcontractors.</p> <p>File alphabetically by name of subcontractor.</p>	<p>Cutoff every third fiscal year.</p> <p>Transfer to FRC 2 years after cutoff.</p> <p>Destroy 6 years and 3 months after cutoff.</p>
60:11	<u>Industrial Support (general)</u>	<p>Includes general correspondence and miscellaneous material on industrial support.</p> <p>File alphabetically by name of inquirer or by subject, as appropriate.</p>	<p>Cutoff each calendar year.</p> <p>Destroy 1 year after cutoff.</p>
60:12	<u>Delinquency (Loan Assistance)</u>		

	Includes assistance on financial management to firms that are delinquent in payments on loans.	Cutoff every second calendar year. Destroy 1 year after cutoff.
	File alphabetically by name of company or borrower.	
60:13	<u>Production Assistance</u>	
	Includes feasibility studies prior to granting expansion loans, evaluation of new products or process in connection with loans.	Cutoff every second calendar year. Destroy 1 year after cutoff.
	File alphabetically by name of company or potential borrower.	
60:14	<u>Size Determinations</u>	
	Includes application for small business size determinations; bids, abstracts of bids; size determinations and findings; protests from size determination.	Cutoff after final determination. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff
	File alphabetically by name of applicant or by industry class.	
60:15	<u>Size Interpretations</u>	
	Includes documents showing the development of basic size standards for eligibility for assistance to firms; the origins of size standards and decisions with regard to the acceptability of various types of industrial affiliations.	Cutoff each calendar year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.
	File by subject.	

Appendix 20**Management and Assistance**
Records Group 65

This schedule outlines procedures for filing and disposition of records pertaining to SBA management assistance programs. In general, this includes management assistance, counseling and Senior Corps of Retired Executives (SCORE).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
65:01	<p><u>Management Training (general)</u></p> <p>Includes general correspondence and miscellaneous material on management training for small businesses.</p> <p>File alphabetically by name of inquirer, or subject as appropriate.</p>	<p>Cutoff each calendar year.</p> <p>Destroy 2 years after cutoff.</p>
65:02	<p><u>Courses, Conferences, and Workshops</u></p> <p>Includes training kits developed for use in courses, conferences, clinics, and workshops.</p> <p>File alphabetically by subject title and chronologically thereunder.</p>	<p>Cutoff when subject training category is updated or declared obsolete.</p> <p>(a) <u>Headquarters Offices</u> transfer to FRC 2 years after cutoff.</p> <p>Destroy 6 years after cutoff.</p> <p>(b) <u>Field Offices</u> destroy immediately after cutoff.</p>
65:03	<p><u>Management Training Activity Report</u></p> <p>Includes reporting on training program brochures, agenda and other evidence of SBA participation and final report.</p> <p>File by regional and district offices chronologically.</p>	<p>Cutoff on completion of training.</p> <p>(a) <u>Headquarters Offices</u> transfer to FRC 3 years after cutoff.</p> <p>Destroy 5 years after cutoff.</p> <p>(b) <u>Field Offices</u> destroy 3 years after cutoff.</p>
65:04	<p><u>Attendees at Training Programs</u></p> <p>Includes list of participants in training programs.</p> <p>File by dates of training.</p>	<p>Cutoff each fiscal year.</p> <p>Destroy 3 years after cutoff.</p>
65:05	<p><u>Management Assistance (general)</u></p>	

	Includes general correspondence and miscellaneous.	Cutoff each calendar year.
	File alphabetically by name of inquirer, or by subject as appropriate.	Destroy 1 year after cutoff.
65:06	<u>Management Counseling Case Files</u>	
	Includes forms, correspondence or data which pertains to the specific case.	Cutoff every second calendar year.
	File alphabetically by name of company or individual.	Destroy 1 year after cutoff
65:07	<u>Interviews</u>	
	Includes files on small businessmen not included as counseling.	Cutoff each calendar yea.
	File alphabetically by name of company or individual.	Destroy 1 year after cutoff.
65:08	<u>Management Assistance Plans and Evaluations</u>	
	Includes those cases which did not become a counseling case. Those which received counseling will be filed with appropriate counseling case file.	Cutoff every second calendar year.
	File alphabetically by name of company of individual.	Destroy 1 year after cutoff
65:09	<u>Publications</u>	
	Includes manuscripts, correspondence and record and reference copies for the following publications: SCORE newsletter, Management, Marketers and Technical Aids Manuals, Small Business Research,	Cutoff on receipt of revised or new publication which supersedes a former publication or when old publication is declared obsolete.
		All offices keep current publications until declared obsolete.
		(a) <u>Headquarters Offices</u> These

	<p>Small Business Management Series, Small Marketing Aids, Starting and Managing Series, Technical Aids, Small Business Bibliographies. Includes "Boost" material.</p> <p>File alphabetically by publication title and chronologically thereunder by most recent date of publication.</p>	<p>records are <u>permanent</u>. Retain a record copy of obsolete publications 1 year after cutoff and transfer to FRC.</p> <p>Offer to NARA in 5-year blocks 5 years after cutoff.</p> <p>Dispose of manuscript, correspondence, and reference copies or obsolete publications 4 years after cutoff.</p> <p>(b) <u>Field Offices</u> dispose of old publications immediately when one is declared obsolete.</p>
65:10	<p><u>SCORE Chapter(s)</u></p> <p>Includes SCORE charter, bylaws, minutes of meetings, and directional data on local programs to recruit and use volunteers.</p> <p>File by SCORE Chapter.</p>	<p>Cutoff when a particular SCORE charter is surrendered, or becomes inactive.</p> <p>Destroy 2 years after cutoff.</p>
65:11	<p><u>SCORE Volunteers (data on individuals)</u></p> <p>Includes inventory of retired business executive counseling talents, registration as volunteer, biographical sketches, request for counseling assignments, and award certificates for performance.</p> <p>File alphabetically by name of volunteer and chronologically thereunder.</p>	<p>Cutoff when SCORE volunteer withdraws or name is removed from active participation.</p> <p>Destroy 3 years after cutoff.</p>
65:12	<p><u>Motion Pictures</u></p> <p>SBA sponsored films intended for public distribution, including informational, educational, and</p>	<p>These records are <u>Permanent</u>. Offer original elements, an intermediate (master hard copy) and a print to</p>

recruiting films.

NARA when motion picture becomes inactive or is withdrawn

File chronologically.

65:13

Video Recordings

SBA sponsored video productions intended for public distribution including informational, educational, and recruiting productions.

These records are Permanent. Offer original elements and dubbing, if one exists, to NARA when video recording becomes inactive or is withdrawn.

File chronologically.

65:14

Sound Recordings

SBA sponsored radio public service announcements, programs, news releases and other sound recordings intended for public broadcast.

These records are Permanent. Offer original elements and dubbing, if one exists, to NARA when sound recording becomes inactive or is withdrawn.

File chronologically.

Appendix 21**General Counsel**
Records Group 70

This schedule outlines procedures for filing and disposing of records regarding SBA legal and legislative matters, opinions, interpretations and, the processings of litigation and claims cases and certain material pertaining to adjudicative proceedings, including motions, orders, exhibits, and certain SBA hearing examiner matters.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
70:01	<p><u>Decisions - Opinions Interpretations</u></p> <p>Includes Attorney General, Comptroller General, and courts; and external and internal rulings that delegate or revoke continuing authority, including disclosure of information.</p> <p>File alphabetically by program title.</p>	<p>Cutoff each calendar year.</p> <p>(a) <u>Headquarters Offices</u> These records are <u>Permanent</u>. Transfer original to FRC 2 years after cutoff.</p> <p>Offer to NARA in 5-year blocks 20 years after cutoff.</p> <p>(b) <u>General Counsel</u> keep a copy for reference or until updated or no longer useful.</p>
70:02	<p><u>SBA Opinion Digest</u></p> <p>Quarterly compilation of opinions rendered by SBA GC office for purpose of advising the Headquarters Office and field offices of legal position that the Agency has taken.</p> <p>File numerically by opinion number.</p>	<p>Cutoff each calendar year.</p> <p>(a) <u>Headquarters Office</u> These records are <u>permanent</u>. Forward an original to FRC 2 years after cutoff.</p> <p>Offer to NARA in 5-year blocks 5 years after cutoff.</p> <p>(b) <u>General Counsel</u> will retain a reference copy indefinitely.</p>
70:03	<p><u>Rules and Regulations</u></p> <p>Includes Agency rules and regulations and backup files with manuscript, correspondence, and reference copies.</p> <p>File chronologically by date.</p>	<p>Cutoff each calendar year.</p> <p>(a) <u>Headquarters Office</u> These records are <u>permanent</u>. Retain a master set of rules and regulations as office record copy.</p> <p>Transfer to FRC 1 year after cutoff.</p>

Offer to NARA in 5-year blocks 5 years after cutoff.

Dispose of manuscripts, correspondence, and reference copies of obsolete rules and regulations 4 years after cutoff.

- (b) Program Office destroy copies of rules and regulations 5 years after cutoff.

70:04

Legislation

Includes proposals, comments on other agencies' proposals; with relationship to the White House, the Executive Office of the President, and Congressional committees, exclusive of material covered in 70:06.

File alphabetically by program title.

Cutoff each calendar year.

- (a) Headquarters Office Transfer to FRC 5 years after cutoff. Destroy 10 years after cutoff.
- (b) Field Offices - destroy 5 years after cutoff.

70:05

Congressional Committees

Includes House and Senate standing, special and joint committee hearings and reports, and testimony by the staff of the Small Business Administration.

File by date and subject of program to which the hearing or congressional report applies.

Cutoff each calendar year.

Destroy 2 years after cutoff.

70:06

Legislative History

Includes history files pertaining to legislation establishing and amending the Small Business Act, and other related material affecting the SBA.

File by Congressional session and Public Law number.

Cutoff at adjournment of Congress.

Headquarters Office will retain such copies of material for retention at SBA as long as needed for legal reference purposes.

70:07	<u>Litigation and Court Proceedings (general)</u>	Includes miscellaneous material and correspondence with the Department of Justice, or other judicial bodies on matters involving litigation and court proceedings, that does not involve a particular case.	Cutoff at end of proceeding. Transfer to FRC 3 years after cutoff. Destroy 10 years after cutoff.
70:08	<u>Investment Program - Legal Administrative Proceedings Records</u>	Involves adjudicative matters held before hearing examiners pertaining to investment program activities. File chronologically by name or subject whichever is appropriate.	Cutoff when hearing is closed and documented, and legal issue is resolved or terminated. Destroy when no longer needed for reference.
70:09	<u>Litigation - (loans - exclusive of SBICs and MESBICs)</u>	Includes OGC, Office of Litigation, loan case work files involving enforcement, criminal matters and fraud; litigation problems pertaining to loan liquidation; legal proceedings, briefs, opinions and renderings, and other pertinent data and copies of Department of Justice papers concerning SBA loan cases in litigation. file alphabetically by name.	Cutoff when litigation action is completed and work folder is marked "closed" by OGC. <u>Headquarters Office</u> will destroy 1 year after date of "closing" recorded by OGC on the outside of binder
70:10	<u>Litigation - (SBIC - MESBIC)</u>	Includes official litigation case files pertaining to court actions conducted by SBA with respect to an SBIC or MESBIC.	Cutoff when SBA litigation action is completed and case is considered closed by OGC.

NOTE: These are official litigation case files since this Agency is authorized under the Investment Act and by the Department of Justice to conduct litigation with respect to investment operations.

File alphabetically by name of SBIC-MESBIC.

- (a) Headquarters Office transfer to FRC 3 years after cutoff.

Destroy 10 years after cutoff.

- (b) Field Offices records custodians will transfer closed cases to FRC 1 year after cutoff.

Destroy 7 years after cutoff.

70:11 Litigation (other than loans and SBICs)

Includes legal matters involving Certificates of Competency, SBA personnel, tort claims, and other material on administrative law.

Cutoff when loan is paid or closed by other means.

Transfer to FRC 3 years after cutoff.

File by docket name(s) under which the case has been filed in the court.

Destroy all cases 10 years after cutoff

70:12 SBA Legislative Handbook

Includes legislation pertaining to SBA activities and related provisions of law and certain selected Executive orders which affect SBA.

Cutoff when new or revised material is issued by the Office of General Counsel which supersedes matter previously issued.

File by arrangement prescribed in handbook.

Retain by offices needing handbook; superseded matter destroyed upon filing of new material.

70:13 Applicant Representative Files

NI-309-88-1

Includes final court decisions and files dealing with the revocation of the privilege of representatives of applicants for financial assistance to appear before the Small Business Administration.

Cutoff when proceedings are completed.

Transfer to FRC 2 years after cutoff.

Destroy 20 years after cutoff.

Files are maintained numerically.

70:14 SBIC Receivership Files

NI-309-90-1

Receivership files during the liquidation of Small Business Investment Corporations (SBICs).

Cutoff when receivership is completed.

Transfer to FRC 2 years after cutoff.

Files maintained by name and SBIC license number.

Destroy 6 years after cutoff.

70:15

Administrative Proceedings Before the Office of Hearings and Appeals Involving SBICs, 8(a) Companies, and Civil Fraud Respondents.

NI-309-88-1

Includes transcripts of hearings exhibits, and decisions pertaining to these administrative proceedings.

Cutoff when hearing is closed.

Transfer to FRC 2 years after cutoff.

Files are maintained alphabetically.

Destroy 10 years after cutoff.

Appendix 22**Minority Small Business**
Records Group 80

This schedule outlines procedures for filing and disposing of records pertaining to the Minority Enterprise Development (MED) Program of SBA.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
80:01	<p><u>8(a) Subcontracts</u></p> <p>Includes all subcontracting by SBA to specific small business firms under authority of Section 8(a) of the <u>Small Business Act</u>, visits to subcontractors, reports of subcontractors, development of specific feasibility studies, source date, etc.</p> <p>File by case files numerically, by contract number.</p>	<p>Cutoff when contract has been completed or terminated and closed by other means.</p> <p>Transfer to FRC 2 years after cutoff.</p> <p>Destroy 6 years and 3 months after cutoff.</p>
80:02	<p><u>8(a) Subcontracts (Miscellaneous)</u></p> <p>Miscellaneous nonrecord subject material maintain alphabetically by subject.</p> <p>File case files numerically, by contract number.</p>	<p>Cutoff when contract has been completed or terminated and closed by other means.</p> <p>Destroy 1 year after cutoff.</p>
80:03	<p><u>8(a) Business Plan File</u></p> <p>Includes all business plan documents of specific small business firms under authority of Section 8(a) of the <u>Small Business Act</u>.</p> <p>File case files numerically by case number.</p>	<p>Cutoff when business firm fulfills its FPPT, is terminated or completed from the 8(a) program.</p> <p>Transfer to FRC 2 years after cutoff.</p> <p>Destroy 6 years and 3 months after cutoff.</p>
80:04	<p><u>8(a) Business Plan Filed (Miscellaneous)</u></p> <p>Miscellaneous nonrecord subject material, maintain alphabetically by subject.</p> <p>File case files numerically by case number.</p>	<p>Cutoff when business firm fulfills its FPPT, is terminated or completed from the 8(a) program.</p> <p>Destroy 2 years after cutoff.</p>

Appendix 23**Inspector General**
Records Group 90

This schedule outlines procedures for filing and disposing of materials relating to all SBA internal audit matters: activities pertaining to investigation of SBA employees and persons and firms seeking SBA assistance – including fee attorneys, SBIC receivers and others who have quasi-employee relationships with SBA; and for other material covering external audits and inspections of SBICs, State and local development companies (Small Business Investment Act), and external audits involving financial activities covered under the SBA Act.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSITION INSTRUCTIONS</u>
90:01	<u>Audits (general)</u> Includes miscellaneous material that does not relate to a specific audit report, case, or investigation. File by subject.	Cutoff each calendar year. Destroy 1 year after cutoff.
90:02	<u>Audit Report Files</u> Includes reports and data on corrective actions taken on deficiencies, and communications with the General Accounting Office on such cases. File by report number.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.
90:03	<u>Audit Project Files</u> Includes progress reports, field office draft reports and correspondence. File by project number.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.
90:04	<u>Audit Project Working Papers</u> Includes abstracts of audit reports, analysis of financial or operational data, charts, graphs, basic agreements, etc., and other workpaper data. File by project number.	Cutoff each fiscal year. Transfer to FRC 2 years after cutoff. Destroy 10 years after cutoff.
90:05	<u>External Audits and Inspections (SBA Act)</u> Includes audits and inspections conducted in connection with financings made under financial assistance programs of SBA. File alphabetically by name of borrower.	Cutoff when loan is terminated or closed by other means. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.

90:06	<u>External Audits and Inspections (EO Act)</u> Includes audits and inspections conducted in connection with contracts and grants made under Section 406 of the Economic Opportunity Act as amended, 1967. File alphabetically by name of recipient of grant or contract.	Cutoff each calendar year. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff
90:07	<u>Complaints (Other than by SBA Employees)</u> Includes discrimination complaints against SBA personnel and offices of the Agency by applicants and recipients. File by region and thereunder chronologically.	Cutoff on completion of final action. Transfer to FRC 2 years after cutoff. Destroy 6 years after cutoff.
90:08	<u>Compliance Files</u> Includes Compliance report SBA Form 707 and related material. (a) <u>Headquarters Offices</u> File alphabetically by state and thereunder by name of applicant. (b) <u>All Other Offices</u> file with loan or other type pertinent case file.	Cutoff upon completion of action or at close of fiscal year whichever is appropriate. (a) <u>Headquarters Offices</u> destroy 3 years after cutoff. (b) <u>All Other Offices</u> retain with loan case files and destroy when loan is paid in full or charged off-final, or closed by other actions.
90:09	<u>Compliance Files</u> Includes Compliance Review Report, SBA- 747 and related material. (a) <u>Headquarters Offices</u> file alphabetically by state and thereunder by name of applicant.	Cutoff upon completion of action or at close of fiscal year, whichever is appropriate. (a) <u>Headquarters Offices</u> transfer to FRC 2 years after cutoff.

(b) All Other Offices file with loan.

Destroy 10 years after cutoff.

(b) All Other Offices destroy 3 years after cutoff.

90:10

Investigative File

Includes investigative report or Personnel Investigations, Financial Assistance, SBICs, State and local development companies, and other recipients of SBA program, including applicant representatives (reports may incorporate data from FBI, Internal Revenue Service, etc.)

Cutoff at the end of each calendar year. SBA investigative files are screened to remove those files on which no derogatory information has been received for 5 years or more. A notation is made on the OIG card file that the closed file has been forwarded to the FRC.

File in alphanumeric order.

Transfer to FRC 6 years after cutoff.

Destroy 15 years after cutoff.

90:11

General Correspondence ("R and O" files)

Includes miscellaneous material that does not pertain to a specific report case, or investigation.

Cutoff each calendar year. SBA investigative files are screened to remove those files on which no derogatory information has been received for 5 years or more. A notation is made on the OIG card file that the closed file has been forwarded to the FRC where it may be subsequently retrieved if necessary.

File in alphanumeric order.

Closed files are not retained by SBA - they are sent immediately to FRC 1 year after cutoff.

Destroy 10 years after cutoff.

90:12

Investigative Card File

Includes condensed OIG data containing information on loan applicants, borrowers, and SBICs.

Do not break file until OIG authorizes.

Cards will be retained 20 years by

File alphabetically by name or company name. OIG.

90:13 Selective Operational Review.

Includes OIG field reports on regional, district, and branch offices. Cutoff after purpose of report has been served.

File by region, district, and branch office. Destroy 5 years after cutoff.

90:14 Personnel Security (Investigative)

Includes security investigations of employees in sensitive positions and those requiring full field investigation and other employee type investigations. Cutoff on separation of employee.

- (a) OIG destroys records of a nonadverse nature.
- (b) Those containing adverse information are retained by OIG and transferred to FRC 5 years after cutoff.

File alphabetically by name of individual o company name.

Destroy 15 years after cutoff.

90:15 Small Business Investment Company Ownerships

Investigative file includes investigations and reports on principal SBIC directors and stockholders (20 percent or more).

File alphabetically by name of company.

- (a) Derogatory Cases:

Cutoff when license is terminated.

Headquarters Offices transfer to FRC 2 years after cutoff.

Destroy 10 years after cutoff.

- (b) Non-derogatory Cases:

OIG will retain for one year after information has served its purpose and data has been recorded in OIG card

file.

OIG will destroy 1 year after cutoff

90:16 SBA Hotline Administrative File

All administrative correspondence relating to the OIG (IGS-12).

File to be continuous. Cutoff to be established by OIG.

File chronologically by date of correspondence.

Transfer to FRC 1 year after cutoff.

Destroy 10 years after cutoff.

90:17 SBA Hotline Complaint Log

All complaints received via telephone hotline or Hotline Mailbox logged and given a sequential number (SBA-266).

File to be continuous. Break to be established by OIG.

File chronologically by date of correspondence.

Transfer to FRC 1 year after cutoff.

Destroy 10 years after cutoff.

90:18 SBA Hotline Complaint File

Includes correspondence or complaints received by Inspector General, P.O. Box and Hotline phone requesting an investigation.

Cutoff each calendar year. SBA Investigation files are screened to remove those files on which no derogatory information has been received for 5 years or more. A notation is made on the OIG card file that the closed file has been forwarded to the FRC where it may be retrieved if necessary.

File in alphanumeric order.

Closed files are not retained by SBA.. Send to FRC 1 year after cutoff date.

Destroy 10 years after cutoff.

90:19 Complaint (other agency) Hotline Referrals)

File contains correspondence complaints (including GAO, DOD, etc.) requesting investigation.

Cutoff each calendar year. SBA investigation files are screened to remove those files on which no derogatory information has been

File in alphanumeric order.

received for 5 years or more. A notation is made on the OIG card file that closed file has been sent to the FRC where it may be retrieved if necessary.

Closed files are not retained by SBA. Send to FRC 1 year after cutoff.

Destroy 10 years after cutoff.

90:20

Character Eligibility Files

Includes all correspondence and documents required for character eligibility determination.

Do not cutoff until OIG authorizes. File will be retained 5 year after cutoff by OIG.

File alphabetically by name of individual or company name.

Destroy 20 years after cutoff.

90:21

Policy and Procedures File

NI 309-90-02

Records defining and documenting the policies required for directing, controlling, and carrying out OIG operations. Also records on planning and developing OIG policies.

Cutoff when superseded or obsolete.

Headquarters Offices these records are permanent. Transfer to NARA in 5 year blocks when 10 years old.

- a. One record copy of each if not included in the Agency's permanent set of master directives files or the record set of publication.

Volume on hand: 1 cubic foot.
Annual accumulation: Less than 1 cubic foot.
Restrictions: None.

Destroy when no longer needed.

File chronologically by fiscal year.

- b. Working papers and background materials.

File chronologically by fiscal year.

Appendix 24

Special Programs
Records Group 95

This schedule outlines procedures for filing and disposing of records pertaining to the Office of Special Programs of SBA.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORD</u>	<u>DISPOSITION INSTRUCTIONS</u>
95:01	<p><u>SBA Advisory Councils</u> (National, State and Regional)</p> <p>Includes material maintained at SBA Headquarters, regional and district offices on SBA Advisory Council activities; membership on councils; minutes of meetings; and actions or recommendations and resolutions made by the respective councils, etc.</p> <p>File by council, SBA national, regional, or state as appropriate.</p>	<p>These records are <u>permanent</u>. Cutoff each calendar year.</p> <p>Transfer to FRC 2 years after cutoff.</p> <p>Offer to NARA in 5-year blocks 20 years after cutoff.</p>
95:02	<p><u>Advisory Council Reporting Requirements</u></p> <p>Includes required fiscal year reports (GSA Form T820B), each District Director, through the Regional Administrator. Detailed requirements outlined in SOP 90 54.</p> <p>File under Reports SBA national, regional or state Council, as appropriate.</p>	<p>Cutoff each fiscal year.</p> <p>Transfer to FRC 2 years after cutoff.</p> <p>Destroy 5 years after cutoff.</p>
95:03	<p><u>Computerized Internal Control Review</u></p> <p>Includes administrative reviews of management procedures and controls on critical Agency programs in field offices.</p> <p>File fiscal year, by region, by district.</p>	<p>Cutoff every second year.</p> <p>(a) Destroy hard copy printout 2 years after cutoff.</p> <p>(b) Transfer microfiche original and one duplicate to FRC 2 years after cutoff.</p> <p>Destroy 10 years after cutoff.</p>
95:04	<p><u>Formal Internal Control Review (ICR)</u></p> <p>Detailed examination of the controls of</p>	

Agency programs to determine whether internal controls exist and are implemented to prevent or detect waste, loss, mismanagement and misappropriation of Agency resources.

These records are permanent. Cutoff each fiscal year after completion of examination.

Transfer to FRC 2 years after cutoff.

File fiscal year alphabetically by program.

Offer to NARA in 5-year blocks 20 years after cutoff.

95:05

Vulnerability Assessment

Detailed review of Agency programs and functional areas to determine susceptibility of waste, loss, unauthorized or misappropriated Agency resources.

Cutoff each fiscal year.

Transfer to FRC 2 years after cutoff.

Destroy 10 years after cutoff.

File numerically by assessable unit number.

95:06

Program Activity Accomplishment Reports

Includes narrative and nonmachine type reports required from various SBA offices by directive or at regular intervals, including annual reports prepared above the division level; summary statistical studies that show the progress of the SBA programs; and special reports required by higher authority at other than regular intervals.

Cutoff each calendar year.

(a) Headquarters Office These files are permanent. Transfer to FRC 3 years after cutoff.

Offer to NARA in 5-year blocks 20 years after cutoff.

(b) Field offices destroy 3 years after cutoff.

File by type of report.

95:07

Economic Analysis and Research - General

Includes general correspondence and material relating to program planning and evaluation, economic analysis and research.

Cutoff each calendar year.

Destroy 1 year after cutoff.

File alphabetically, or by program or subject, as appropriate.

95:08	<u>Mission, Objectives, and Program Analysis</u>	Includes long-range program, planning and evaluation, economic research and analysis, plans, progress reports submitted to the Administrator, and development of programs and plans for implementation, pretesting, and evaluation of program goals.	Cutoff each calendar year.
		File by program.	<p>(a) <u>Headquarters Offices</u> These records are <u>permanent</u>. Transfer to FRC 3 years after cutoff.</p> <p>Offer to NARA in 5-year blocks 20 years after cutoff.</p> <p>(b) <u>All other offices</u> Destroy 5 years after cutoff.</p>
95:09	<u>Technical Monitoring</u>	Includes economic analysis, studies and surveys pertaining to national and regional impact factors which affect small business, manufacturing techniques, and environmental and industrial changes which may affect SBA programs and policy decisions.	Cutoff each calendar year.
		File by subject or type of industry.	<p>(a) <u>Headquarters Offices</u> Transfer to FRC 3 years after cutoff.</p> <p>Destroy 6 years after cutoff.</p> <p>(b) <u>All other offices</u> Destroy 5 years after cutoff.</p>
95:10	<u>Organization and Management Studies</u>	Includes organization and management or special project studies and surveys independently conducted by offices within the Small Business Administration, or in cooperation with other agencies, and the resulting reports containing evaluations and recommendations.	Cutoff on submission of final report.
		File by office, or subject and date.	<p>(a) <u>Headquarters Offices</u> responsible for organizational planning and issuance of such official materials will transfer to FRC 2 years after cutoff.</p> <p>Destroy 10 years after cutoff.</p> <p>(b) Offices receiving copies of issuances and furnishing feeder data destroy materials 1 year</p>

after cutoff.

Appendix 25

Hearings and Appeals Records Group 45

This disposition schedule outlines material relating to Hearing and Appeals in regards to Size Standard Industrial Classification appeals. The files contain all material relating to appeals filed; including summaries of cases heard by the Administrative Judges and decisions rendered by them.

The maintenance and disposition of records pertaining to the administration of the Freedom of Information Act and the Privacy Act are outlined in General Records Schedule (GRS) 14, which is included in this SOP as appendix 26.

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Disposition Instructions</u>
	<u>DECREASED SBA RETENTION BY 1 YEAR; ELIMINATED SAMPLE-CASE REQUIREMENT</u>	
45:01	<u>Size Decisions – Size Appeals Board</u>	
	Summation of cases heard by the Office of Hearings and Appeals.	Cutoff each calendar year.
	File alphabetically by name of company and also numerically.	(a) Headquarters transfer to FRC 2 years after cutoff.
		Destroy 6 years after cutoff
		(b) Field offices destroy 3 years after cutoff.
	<u>DECREASED SBA RETENTION BY 1 YEA: ELIMINATED SAMPLE-CASE REQUIREMENT</u>	
45:02	<u>Size Appeals Board Dockets.</u>	
	Includes transcripts of oral hearings, exhibits, and decisions by Hearings and Appeals.	Cutoff on final disposition of case.
	File alphabetically by name of company.	Headquarters transfer to FRC 2 years after cutoff.
		Destroy 10 years after cutoff.

Appendix 26
Freedom of Information and Privacy Acts

General Records Schedule 14

Information Services Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day-to-day affairs and in their relations with the public; including records created in administering Freedom of Information Act and Privacy Act programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Item 4 applies only to files maintained in the office responsible for the operation of the information activities of the agency or subdivision thereof. Items 11 through 15 describe the files accumulated in carrying out the provisions of the Freedom of Information Act, and items 21 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal information releases, and records relating to inappropriate release of privileged information. Closely related records such as records relating to budget presentation, and printing, duplicating, and distribution are covered by other General Records Schedules. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying this schedule.

Other information services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them. To schedule these and other information services records not included in this schedule, agencies submit and SF 115, Request for Records Disposition Authority, to NARA.

All records described in this schedule are authorized for disposal in both hard-copy and electronic forms, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Information Requests Files.</u> Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.	Destroy when 3 months old or when no longer needed, whichever is sooner.
2.	<u>Acknowledgement Files.</u> Acknowledgement and transmittals of inquiries and requests that have been referred elsewhere for reply.	Destroy 3 months after acknowledgement and referral.
3.	<u>Press Service Files.</u> Press service teletype news and similar materials	Destroy when 3 months old.
4.	<u>Information Project Files</u> Information service project case files maintained in formally designated information offices	Destroy 1 year after close of the file or 1 year after completion of project.
5.	<u>Commendation/Complaint Correspondence Files.</u> Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.	Destroy when 3 months old.
6.	<u>Indexes and Check Lists.</u> Bibliographies, checklists, and indexes of agency publications and releases, EXCLUDING those relating to record sets scheduled as permanent.	Destroy when superseded or obsolete.
7. through 10 Reserved		

11. Freedom of Information Act (FOIA)
Requests Files.

Files created in response to requests for information under the Freedom of Information Act, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

1. Granting access to all the requested records.

Destroy 2 years after date of reply.

2. Responding to requests for non-existent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 12.

3. Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 6 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 12.

b. Official file copy of requested records.

Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later.

12. FOIA Appeals Files

Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter,

a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

- | | |
|---|---|
| a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein). | Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 year after final adjudication by the courts, whichever is later. |
| b. Official file copy of records under appeal. | Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA request, whichever is later. |

13. FOIA Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

- | | |
|--------------------------|---|
| a. Registers or listing. | Destroy 6 years after date of last entry. |
| b. Other files. | Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later. |

14. FOIA Reports Files.

Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level.

Destroy when 2 years old or sooner if no longer needed for administrative use.

[NOTE: The GRS does not cover departmental or agency level annual reports to the Congress. These reports should be scheduled to transfer to the National Archives by submitting an SF 115 to NARA.]

15. FOIA Administrative Files

Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old or sooner if no longer needed for administrative use.

16. through 20. Reserved.

21. Privacy Act Requests Files

Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Requests not appealed.

Destroy 2 years after date of reply.

(b) Requests appealed.

Destroy as authorized under Item 22.

(3) Denying access to all or part of the records requested.

(a) Requests not appealed.

Destroy 5 years after date of reply.

(b) Requests appealed.

Destroy as authorized under Item 22.

b. Official file copy of requested records.

Dispose of in accordance with approved agency disposition instructions for the related records or with the related Privacy Act request, whichever is later.

22. Privacy Act Amendment Case Files.

Files relating to an individual's request to

amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).

- | | |
|--|---|
| <p>a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.</p> | <p>Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.</p> |
| <p>b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.</p> | <p>Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later.</p> |
| <p>c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.</p> | <p>Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.</p> |

23. Privacy Act Accounting of Disclosure Files. Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.
- Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.
24. Privacy Act Control Files
- Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.
- a. Registers and listings. Destroy 5 years after date of last entry.
- b. Other files. Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.
25. Privacy Act Reports Files
- Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget, and the Report on New Systems at the all levels.
- Destroy when 2 years old.
- [NOTE: The GRS does not cover the biennial report to Congress from the Office of Management and Budget.]
26. Privacy Act General Administrative Files
- Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routing correspondence, and related records.
- Destroy when 2 years old or sooner if no longer needed for administrative use.
27. through 30. Reserved

31. Mandatory Review For Declassification
Requests Files

Files created in response to requests for information under the mandatory review provisions of Executive Order (E.O.) 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 32.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 5 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 32.

b. Official field copy of requested records.

Dispose of in accordance with approved disposition instructions for the related records or with the related mandatory review request, whichever is later.

c. Sanitizing instructions.

Destroy when superseded or when requested documents are declassified or destroyed.

32. Mandatory Review for Declassification
Appeals Files

Files created in responding to administrative appeals under the mandatory review provisions of E.O. 12356 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

- a. Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein).

Destroy 4 years after final determination by agency.

- b. Official file copy of records under appeal.

Dispose of in accordance with approved agency disposition instructions for the related records, or with the related mandatory review request, whichever is later.

33. Mandatory Review for Declassification Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

- a. Registers or listing.

Destroy 5 years after date.

- b. Other files.

Destroy 5 years after final action by the agency.

34. Mandatory Reviews for Declassification Reports Files

Reports relating to agency implementation of the mandatory review provisions of the current Executive Order on classified national security information, including annual reports submitted to the Information Security Oversight Office.

Destroy when 2 years old or sooner if no longer needed for administrative use.

35. Mandatory Review for Declassification Administrative Files

Records relating to the general agency implementation of the mandatory review provisions of the current Executive Order on classified national security information, including notices, memoranda, correspondence, and related records.

Destroy when 2 years old or sooner if no longer needed for administrative use.

36. Erroneous Release Files

Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy.

Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.

- a. Files that include the official file copy of the released records.

Follow the disposition instructions approved for the released official file copy or destroy 6 years after the erroneous release, whichever is later.

- b. Files that do not include the official file copy of the released records.

Destroy 6 years after the erroneous release.

Appendix 27

NA Form 13016
Notice of Accession Location Change

NOTICE OF ACCESSION LOCATION CHANGE	DATE OF NOTICE	DISPOSAL DATE
The records described in this notice have been relocated within the Center. Please note this change on your SF-135, as this new location must be furnished with any request for records from this accession.	RECORDS DESCRIPTION	
	ACCESSION NUMBER	SUBGROUP
REMARKS	DISPOSAL AUTHORITY	VOLUME (Cu.ft.)
	SERIES DESCRIPTION	
	ADDRESS OF FEDERAL RECORDS CENTER	

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
 85)

NA FORM 13016 (4-

Appendix 28

NA Form 13001
Notice of Intent to Destroy Records

NOTICE OF INTENT TO DESTROY RECORDS	DATE OF NOTICE	DISPOSAL DATE
<p>The records described in this notice appear eligible for disposal on the date shown. In accordance with FPMR 101.11.410.8(b) they will be destroyed 90 days from the date of this notice. You should annotate you SF-135 (all copies) to show that the records have been destroyed. No other action is required. If you do not concur in the scheduled destruction of the records, you may request an extension of the retention period by providing written justification (including a proposed new disposal date), within the 90 day period to the Director of the Federal Records Center indicated at the right.</p>	RECORDS DESCRIPTION	
	ACCESSION NUMBER	SUBGROUP
REMARKS	DISPOSAL AUTHORITY	VOLUME (Cu.ft.)
	SERIES DESCRIPTION	
	ADDRESS OF FEDERAL RECORDS CENTER	

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

NA FORM 13001 (4-85)

Appendix 29
SBA Form 1631

NOTIFICATION OF TRANSFER OR DESTRUCTION OF RECORDS

In accordance with the General Records Schedule (GRS) or the National Archives and Records Administration, and approved SBA Disposition Schedule, the information listed below is provided for your concurrence on the transfer or destruction of official program records.

A. Organizational Unit: _____

—

1. Name of Office: _____

—

2. Contact Person: _____

—

3. Building: _____

—

4. Room Number: _____

—

5. Telephone Number: _____

—

B. Title of Files: _____

—

(SOP 00 41 2 or GRS)

C. Description of Files: _____

D. Types of Files:

Case or Project: _____ Subject: _____ Other: _____

E. Arrangement of Files:

Alphabetical: _____ Subject: _____ Numerical: _____

F. Files Disposition Authority:

1. SOP 00 41 2 Appendix No.: _____ Item No.: _____ Disposal Date: _____

2. GRS Schedule No.: _____ Item No.: _____ Disposal Date: _____

—

G. Concurrence:

I concur _____ I do not concur _____

—

Signature _____ Date _____

—

H. Comments: _____

SBA Form 1631 (5-89)

Appendix 30**SBA Official Seal**

Below is an example of the SBA official seal. Contact the Office of Administrative Services for more information on available sizes and colors.



Appendix 31**Vital Records**
Protection Instructions

Follow the instructions in this appendix to safeguard the records identified as indispensable for Headquarters and regional offices. Review the indispensable records maintenance program periodically to assure that it is kept up to date.

<u>DESCRIPTION</u>	<u>EMERGENCY OPERATING FACILITY (HQ)</u>	<u>REGIONAL OFFICE</u>	<u>SPECIAL INSTRUCTIONS</u>
<u>ADMINISTRATIVE SERVICES</u>			
a. Federal Procurement regulations and elated circulars	x	x	Records officer will forward to EOF; obsolete portions will be destroyed. Regional Office responsible for administrative activities will retain copy as indispensable record. Dispose of when updated or superseded.
b. SBA Standard Operating Procedures	x	x	Records officer will forward to EOF; Regional Offices will maintain only those SOPs listed in the Numerical Index of SBA SOPs as received under regular distribution from Headquarters; obsolete SOPs will be destroyed when updated of superseded.
c. SBA Rules and Regulations	x	x	Records officer will forward to EOF; Regional Official responsible for administrative activities will retain as an indispensable record; destroy obsolete portions when updated or superseded.
d. SBA/OGC Legislative Handbook (includes SBA Act, SB Investment Act and other related legislative material)	x		Records Officer will forward to EOF; Headquarters Law Librarian will send copies to regional official responsible for administrative activities for retention as an indispensable record; destroy obsolete portions when updated or superseded.
e. SBA Annual Report	x	x	Records Officer will forward to EOF; Regional official responsible for administrative activities will obtain extra copy from HQ to retain as an indispensable record. Dispose of when updated or superseded
f. Directory of U.S. Post Offices (retain only the most recent issue)	x	x	Records Officer will forward to EOF; Regional official responsible for administrative activities will obtain copy for retention as indispensable record. Dispose of when updated or superseded.

g.	HQ-EOF Space Records and related Relocation Space and Maintenance Agreements (includes copy of GSA Form 65, "Space Assignment Record".	x	x	Records Officer will retain with copy of GSA Form 65 at EOF; Regional official responsible for administrative activities will retain as indispensable record. Destroy when updated or superseded.
h.	Copies of SBA Forms, standard forms, and others of common use.	x	x	Records Officer will forward to EOF; Regional official responsible for administrative activities will maintain only those copies of forms for SBA operations which he or she considers essential for emergency operations. Dispose of when updated or superseded.
i.	U.S. Printing Laws and Regulations, Postal Guide, Congressional Directory, and similar publications.	x		Records Officer will forward to EOF. Dispose of when updated or superseded.
j.	U.S. Government Organization Manual	x	x	Records Officer will forward to EOF; destroy obsolete issues.
k.	The National Plan for Emergency Preparedness (issued by OEP, December 1964)	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as an indispensable record. Dispose of when updated or superseded.
l.	OEP/ODR Resource Mobilization Plan for Limited War, July 1966	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as an indispensable record. Disposition must conform to prescribed security regulations when updated or superseded. Destroy by burning or shredding.
m.	Annex "A" to the above Plan (SECRET) July 1966	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as an indispensable record. Disposition must conform to prescribed security regulations when updated or superseded. Destroy by burning or shredding.

n.	Annex "B" to the above Plan, April 1967 (EPA has not yet authorized distribution to Agency Field Offices.	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as an indispensable record when FEMA authorizes field distribution. Disposition must conform to prescribed security regulations when updated or superseded. Destroy by burning or shredding.
o.	SBA Resource Mobilization Plan for Limited War	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as an indispensable record. Disposition of by burning or shredding.
p.	Federal Emergency Plan "D" dated July 1969	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as an indispensable record. Disposition must conform to prescribed security regulations when updated or superseded. Destroy by burning or shredding.
q.	Annex "A" to the above Plan (SECRET) dated July 1969	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as an indispensable record. Disposition must conform to prescribed security regulations when updated or superseded. Destroy by burning or shredding.
r.	Annex "B" to the above Plan dated July 1969	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as an indispensable record. Disposition must conform to prescribed security regulations when updated or superseded. Destroy by burning or shredding.
s.	EO 11490, dated October 28, 1969, prescribing various Federal agency emergency responsibilities	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as an indispensable record. Obsolete portions will be destroyed. Destroy by burning or shredding.

t.	Code of Emergency Federal Regulations, 1965, with revisions	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as an indispensable record. Obsolete portions will be destroyed. Destroy by burning or shredding.
u.	Emergency Preparedness SOPs plus SOP 00 01, and substitute SOP 00 08.	x	x	Records Officer will forward to EOF; to be retained separately at EOF; regional official responsible for administrative activities will retain copies of these documents separate from other SOPs as indispensable records. Dispose of when updated by burning or shredding.
v.	EOF Communications Operations Instructions (some material classified SECRET)	x		Records Officer will forward to EOF; Obsolete portions to be destroyed pursuant to prescribed security regulations, i.e., by burning or shedding.

Comptroller's Records

a.	OPM Salary Table	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as an indispensable record. Two copies will be maintained on current basis. Dispose of when updated or superseded.
b.	Borrowers history Run on SBA Loans (HQ-ADP) printout which is microfilmed.	Special		Send extra set of Borrowers Annual History microfilm reels to Federal records Center (FRC) East Point, GA.; FRC will retain all reels for 30 years, then dispose of.
c.	Emergency Disbursing Plan - U.S. Treasury Department	x		Records Officer will forward to EOF; destroy obsolete portions when updated or superseded.
d.	Plans for continuity of Money and Banking- Federal Reserve System	x		Records Officer will forward to EOF; destroy obsolete portions when updated or superseded

e.	SF 2806, "Individual Retirement Record" and SBA Form 982, "Time and Attendance Report"	x	SFs 2806 and SBA Forms 982 will be microfilmed annually. Records Officer will forward film each year to FRC, East Point, GA., at which time old film will be returned by FRC for disposal.
f.	SF 1152, "Designation of Beneficiary"	x	Comptroller's Payroll Office will furnish copies of SFs 1152 to Records Officer periodically to be forwarded to EOF. Dispose of when employee leaves agency.
g.	Biweekly Pay Register Microfiche; for employees on supplemental rolls; bond register, detail check, bond issue verifications, allotments and net checks to financial organization for SBA employees on microfilm.	x	Comptroller Payroll Officer will furnish silver copy of microfilm/microfiche biweekly to records officer for forwarding to EOF; old copies returned to payroll office as each new microfilm/microfiche is received.
h.	Office of Personnel Management Schedule of Subscription Charges (Health Benefits)	x	Comptroller Payroll Office will furnish copies of schedule to records officer for forwarding to EOF; destroy obsolete portions.
i.	Budget-Treasury Bulletin No. 1 (and related documents)	x	Records Officer will forward to EOF; destroy obsolete portions.
j.	Receipt, appropriation, and other fund account symbols and titles-Division of Central Accounts, Treasury Department.	x	Records Officer will forward to EOF; destroy obsolete portions.
k.	GAO Manual for Guidance of Federal Agencies	x	Records Officer will forward to EOF; dispose of when updated or obsolete.
l.	Manual of Procedures and Instructions for Cashiers Operating Under EO 6166	x	Records Officer will forward to EOF; destroy obsolete portions when updated or obsolete.
m.	Financial Compound Interest and Annuity Tables (U.S. Treasury Department)	x	Records Officer will forward to EOF; dispose of when updated or obsolete.
n.	Household Goods Carriers' Bureau Mileage Guide	x	Records Officer will forward to EOF; destroy obsolete portions when updated or superseded.

o.	Bound Volumes of Decisions of Comptroller General	x	Records Officer will forward to EOF; destroy obsolete portions when updated or superseded.
p.	Copy of SBA Form 649, "Listing of Collateral Documents", and copy of not on each outstanding loans in region.	x	SBA Form 649, copy of note, and other like obligating instruments, plus other required collateral documents that are prescribed by the Comptroller for retention on all outstanding loans by appropriate servicing office, which are kept in combination lock, fireproof cabinets, will be recognized as regional indispensable records; collateral file to be purged periodically per receipt of SBA Form 396, "Notice of Fully Paid Accounts", and SBA Form 328, "Loans and Related Receivables Charged Off", per applicable Comptroller instructions. Dispose of with official loan case file.
q.	Copes of SBIC notes and debentures maintained by Headquarters	x	Records Officer will forward to EOF; dispose of upon receipt of SBA Form 397 paid listings.
r.	Financial and statistical reports on lending activities; lease guarantee; 8(a) contracts-trial balance/detail; 406 grants (contracts) - trial balance/detail; internal and external reports.	x	Records Officer will forward to EOF; destroy obsolete portions. Dispose of in accordance with GAO regulations. Six (6) years and (3) months.
s.	Administrative expense reports including reports on status of apportionments, and important data that is recorded on machine runs and certain selected monthly, quarterly, semiannual, and annual reports.	x	Records Officer will forward to EOF; dispose of obsolete data upon receipt of succeeding reports.
t.	Statement of authorized positions, employment, and ceilings.	x	Records Officer will forward to EOF; destroy obsolete portions. Dispose of in accordance with OPM regulations.
u.	SBA Budget submissions (including OMB and Congressional copies)	x	Records Officer will forward to EOF; retain budget data for 3 preceding years only, then dispose of by shredding or burning.

- | | | | |
|----|--|---|---|
| v. | Apportionment and
Reapportionment
Schedules | x | Records Officer will forward to
EOF; retain budget data for 3
preceding years only, then dispose
of by shredding or burning, |
| w. | Office of Management and
Budget Circular No. A-11 | x | records Officer will forward to EOF;
destroy obsolete copies when
updated or superseded. |

Security and Investigations

Records

- | | | | |
|----|---|---|--|
| | | x | |
| a. | SBA Form 382, "Personnel
Security Record Card" | | Send Microfilm copies of SBA
Form 382 to EOF; old copies at
EOF will be disposed of upon
receipt of next annually microfilmed
reels. |

Personnel Records

a.	Federal Personnel Manual and related issuances and supplements	x		Records Officer will forward to EOF; destroy obsolete portions when updated. Regional Official responsible for administrative activities will dispose of obsolete portions when updated or superseded
b.	OPM Mobilization Circulars and "National Emergency Standby regulations and Instructions"	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities who will dispose of obsolete portions when updated or superseded.
c.	OPM Handbook on Occupational Codes and Classes	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities who will dispose of obsolete portions when updated or superseded.
d.	Position Classification standards for positions subject to classification Act of 1949.	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities who will dispose of obsolete portions when updated or superseded.
e.	OPM Handbook X-118, "Qualifications Standards"	x	x	records Officer will forward to EOF; destroy obsolete portions when updated or superseded.
f.	Personnel Organization Roster, ADP monthly printout of Headquarters, Regional, and district office positions by organizational component	x		Records Officer will forward one complete printout to EOF monthly; retain two latest copies only. Personnel Office will forward regional-district printout to respective ARA/As. Destroy when three months old.

Data Management Records

a.	SBA tapes and hard copy, consisting of information that could be used for the continuity of Agency operations in the case of and emergency. The content is as specified in the Office of Data Management, Data Processing Procedures Manual.		SPECIAL	Records Officer will send these tapes and hard copy to FRC East Point, GA., on a monthly basis. The FRC will retain and return the data to the Headquarters Office per instruction of the Records Officer. Dispose of when updated or superseded
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General Counsel Records

a.	American Jurisprudence (Complete)	x	Records Officer will forward to EOF; destroy obsolete portions upon receipt of new editions.
b.	U.S. Code Annotated (Complete)	x	Records Officer will forward to EOF; destroy obsolete portions upon receipt of new editions.
c.	Opinion Digest	x	Records Officer will forward to EOF; destroy obsolete portions upon receipt of new editions.
e.	Jones on Forms 9th Edition	x	Records Officer will forward to EOF; destroy obsolete portions upon receipt of new editions.
f.	Martindale-Hubbell Law Directory	x	Records Officer will forward to EOF; destroy obsolete portions upon receipt of new editions.
f.	Code of Federal Regulations	x	Records Officer will forward to EOF; destroy obsolete portions upon receipt of new editions.
g.	Digest of Decisions of the Armed Services Board on Contract Appeals, Volume 3, 1953-1954; and GPO Volume 2, 1950-1953	x	Records Officer will forward to EOF; destroy obsolete portions upon receipt of new editions.

Investment Records

a.	List of Licensed SBICs	x	Records Officer will forward to EOF; dispose, when superseded.
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**Procurement Assistance
Records**

		x	PA will forward two copies to regional official responsible for the PA program; one copy is to be retained as an indispensable record; dispose of upon receipt of next printout
a.	Procurement Sources Printout (Annual) (alphabetical and numerical)		
b.	Certificates of Competency Records		
(1)	SBA Form 104, "Performance record of Company with a COC"	x	Regional official responsible for the PA program will retain copy of SBA Form 104 as indispensable record until 4 years after contract is completed, then destroy.

(2)	SBA Form 104A, "Contract Progress Report of COC"		x	Regional official responsible for the PA program will retain copy of SBA Form 104 as indispensable record until 4 years after contract is completed, then destroy.
c.	Standard Industrial Classification Code and pocket parts	x		Records Officer will forward to EOF; Regional official responsible for the PA program will retain as indispensable record; dispose of upon receipt of updated issue.

Miscellaneous Records

a.	Advisory Councils			
(1)	National Advisory Council	x	x	Records Officer will forward to EOF; he or she will also send copies to the regional official responsible for administrative activities for retention as indispensable record; destroy obsolete portions when updated or superseded.
(2)	District Advisory Council	x	x	Records Officer will forward to EOF; he or she will also send a copy of the list of the District Advisory Council members for each respective region to the regional official responsible for administrative activities for retention as indispensable record; destroy obsolete portions when updated or superseded
b.	Delegations of Authority	x	x	Reports Management Division will furnish Records Officer with copies of standard and special delegations and amendments thereto, issued to Headquarters and filed office officials; copies to be maintained at the EOF; regional official responsible for administrative activities for retention as indispensable record; destroy obsolete portions when updated or superseded.

